DOCUMENT RESUME

ED 208 889 IR 009 803

AUTHOR	Miller, J. Gormly
TITLE	Collection Development and Management at Cornell. A Concluding Report on Activities of the Cornell University Libraries' Project for Collection Development and Management, July 1979-June 1980, with Proposals for Future Planning.
INSTITUTION	Cornell Univ., Ithaca, N.Y. Univ. Libraries
SPONS AGENCY	Andrew W. Mellon Foundation, New York, N.Y.
PUB DATE	Apr 81
NOTE	149p.; For a related document, see ED 188 579.
AVAILABLE FROM	Cornell University Libraries, 201 Olin Library, Cornell University, Ithaca, NY 14853 (no charge).
EDRS PRICE	MF01/PC06 Plus Postage.
DESCRIPTORS	*Academic Libraries; *Budgeting; Higher Education; Information Networks; Institutional Role; *Library Acquisition; Library Administration; *Library Collections; Library Networks; *Library Planning; Library Surveys; *Policy Formation; Resource Allocation
IDENTIFIERS	Cornell University NY

ABSTRACT

Growing concern on behalf of the Cornell Libraries administration about the lack of a central plan for library collection development at Cornell resulted in a study of the collection development function at Cornell, and the product of that study is this comprehensive proposal for a university-wide library collection and information resource planning program. The role and mission of the university's library system, the evolution of that system, and the function of the library system as part of the university information resource network are discussed in detail, the objectives of a collection development plan are outlined, and collection development responsibilities are defined. An organizational structure for collection development at Cornell is proposed, and among the adminstrative and budgetary aspects of the plan presented are the budget process, accounting and fund control, and book fund allocations. The relationship of collection management to collection development is also addressed. Accompanying and illustrating the text are three charts, eight tables, and one figure. The appendices include a list of definitions, a 37-item bibliography on the allocation of book funds in academic libraries, and a list of data collected during the Cornell Collection Management and Development Project. (JL)

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COLLECTION DEVELOPMENT AND MANAGEMENT AT CORNELL

A Concluding Report on Activities of the Cornell University
Libraries' Project for Collection Development and Management,
July 1979-June 1980, with Proposals for Future Planning

J. Gormly Miller, Project Director

Prepared under a Grant from the
Andrew W. Mellon Foundation

Cornell University Libraries
Ithaca, New York 14853
April 1981

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COLLECTION DEVELOPMENT AND MANAGEMENT AT CORNELL

EXECUTIVE SUMMARY

The Cornell project for collection development and management grew out of a concern of both the University administration and the University Libraries' administration about dealing with what was perceived as the rapid and unplanned growth of the library collections. Subsequently, it became clear that the growth of the collections was not as rapid as had been feared. In fact, because of increasing prices and budget constraints, growth had slowed down to the point of a noticeable deterioration in the quality of the collections, particularly with respect to their currency. Whatever the conditions, however, the need for planning was manifest.

With the participation and interest of Cornell President Dale Corson and Provost David Knapp, discussions were held with President John E. Sawyer and Mr. James M. Morris of the Andrew W. Mellon Foundation. The Foundation had already indicated its interest in the future of large research libraries and particularly the problems of dealing with the growth and development of the large collections that were in effect important national resources. It had recently funded the Collection Analysis Project of the Association of Research Libraries, which was being carried out at the University of California (Berkeley), Massachusetts Institute of Technology, and the Arizona State University. With the encouragement of the Foundation, Hendrik Edelman, then Assistant Director of Libraries for Collection Development at Cornell, was asked to develop and direct a project to study the collection development function at Cornell and the problems associated with it and to develop planning tools and a planning methodology for the collections and for directly related library operations.

The first stage of the project was carried out between July 1977 and June 1979 and is reported by Mr. Edelman and his associate, Dr. Dan C. Hazen, in the Interim Report that was published in December 1979* The first stage consisted of five elements:

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*Edelman, Hendrik and Hazen, Dan: Collection Development and Management at Cornell, an Interim Report..., Ithaca, N. Y.: Cornell University Libraries, 1979.

1. Conceptualization of the collection development function and design of a methodology for analyzing and planning for the collections and for the processes involved in the collection development function.
2. Collection of available data needed for quantitative study of the collections and accumulation of additional data where possible.
3. Analysis of the collections by subject, form, and language following the pattern developed at the University of California (Berkeley).
4. Staff training through a series of seminars.
5. A survey of users of the research collections to gain some evaluation of the collections in relation to certain client groups and in broad areas of subject matter or discipline.

Of these elements, the analysis of the collections (#3) was not completed and the survey of users (#5) was only in a preliminary planning phase by the time Mr. Edelman left Cornell to take up new duties as University Librarian at Rutgers University.

After an interruption of several months, the second stage of the project began in the summer of 1979, with intensive planning for the survey of users. Originally intended to be part of the data and information collecting phase scheduled in the first stage, the survey became a large part of the work carried on in 1979/80 and required a good deal more time and resources than originally anticipated.

A crucial feature of the second stage of the project was the preparation of proposals for a collection development plan that could be undertaken as a continuation of changes already begun within the library system. We understood that such a plan would have to be developed and carried out by library staff and administration working together.

The proposals grow out of a redefinition of the role and mission of the University Library system, viewing it as a part of a University Information Resources Network. They recognize that a library is both a means of storing and imparting knowledge, wisdom and understanding, as well as a device for processing, transferring and storing information. They are based on the assumption that the library system should concentrate its resources in those areas of activity where it is best equipped to function, avoiding extending its responsibilities to information resources and services that would be better handled by other means.

If this assumption is made and the implications of the mission statement and the proposals in the report are considered, it will be clear that the University administration must give much more attention to the problems associated with the University's information resources and services than it ever has in the past. The notion of a University Information Resources Network is the device suggested for organizing and rationalizing the University's multitude of diverse information activities and resources. The Library administration is not in a position to manage and control them, but it needs to have a significant part in assisting the University to examine the requirements, to define the elements, and to design the connections and linkages of the Network. The Library system would require specific funding to support its functions in such a network if its responsibilities were extended in order to provide a central point of access to the resources contained in all of the centers comprising the network.

The proposals made in the report cover planning goals, structure and organization, formation of collection development policy, funding, possible ways of dealing with resource allocation problems and distributing costs, and suggested planning tools for future application.

PROPOSALS

General

1. Prepare a mission statement describing in fairly detailed terms the mission of the Cornell University Library system.
   (Refer to Report, p. 16-17)

2. Define a Cornell University Information Resources Network and the role of the library system within it.
   (Refer to Report, p. 25-26;
   Chart I, p. ~~27~~ 43)

3. State the goals and objectives of a long-range plan for collection development to include:

   A. A management system which will assist the Library administration in:

      (1) Controlling growth of collections in relation to available resources;

(2) Determining the Collections to be supported at increased levels, or at existing levels, or at reduced levels;

(3) Rationalizing decisions for the allocation of Library funds among Collections and libraries for acquisitions and other collection development purposes, and determining, with the University administration and academic sectors of the University outside the library system, how funding support for special program purposes within the library system is to be derived;

(4) Making accurate predictions about short-term requirements for different Collections or libraries, for example, "Format" mix, funding, degree and kind of resource sharing;

(5) Projecting space needs;

(6) Anticipating needs for changes in staffing patterns.

B. A long-term program for collection development and collection management which

(1) Involves collection level library staff and college and department faculty so that the structure and organization of these functions are well adapted to the complexities and unique features of the academic programs at Cornell;

(2) Relates the program to the concept of a wider University information resources network within which the library program functions, and

(3) Suggests a structure for such a network.

C. A plan for changes in the overall system of bibliographical control and for the full exploitation of the potential of computer applications.

(Refer to Report, p. 29-32)

4. Describe the limits of the collection responsibilities of the Cornell University Libraries, emphasizing the traditional function of providing the published scholarly record and the published official record.

(Refer to Report, p. 33-35)

Structure and Organization

5. Reorganize the initial selection and the collection development responsibilities for the central research collections by creating a Department of Reference and Bibliographic Services to replace the Reference Department and the Collection Development Division.

(Refer to Report, p. 37-42;
Chart II, p. ~~43~~) 27

6. Establish four positions--using existing posts where possible--to exercise expenditure and review authority and coordinating responsibility as part of the collection development function throughout the library system. These would be (a) a Resource

Development Librarian for the central research collections, the Uris Library, Music and Fine Arts, (b) an Asian Studies Librarian, (c) a Physical Sciences Librarian, and (d) a Biological Sciences Librarian.

(Refer to Report, p. 42)

7. Form a Social Science Committee to review and coordinate collections development in the social science collections throughout the campus, and a Coordinating Committee for Historical Papers, Archives and Special Documentation.

   (Refer to Report, p. 42)

Collection Development Policy

8. Prepare a general statement of university-wide policy on library collections: (a) distinguishing between university-wide responsibilities for collection development and those of particular Libraries and Collections; (b) applying to the common processes associated with collection development; and (c) covering common policies with respect to form or format.

   (Refer to Report, p. 45-47)

9. Formulate a set of policy statements to cover specific Collections and Libraries distinguishing between the essential core of the Collection or Library and the specialized information resources required for special needs.

   (Refer to Report, p. 45-47)

10. Compile a set of library or collection profiles for the purpose of analyzing the characteristics and features of specific libraries and collections in order to provide the basis for policy statements.

    (Refer to p. 48, Table III
    p. 50-52)

Administration, Budget and Book Fund Allocation

11. Establish a Policy and Allocation Board to formulate and administer collection development policy on a campus-wide basis; to oversee and coordinate the collection development function throughout the University Library system; to allocate funds for the acquisition of books, serials and library materials; to review certain classes of expenditure decisions and to make expenditure decisions involving large amounts.

    (Refer to Report, p. 41, Chart III,
    p. 43, p. 27-28)

12. Investigate with the University administration the feasibility of a two-tier library budget process comprised of (a) the basic University library budget, including both appropriated funds and endowments, and (b) funding from other academic units for specialized information resource needs and particular program requirements.

    (Refer to Report, p. 57-59
    Chart III, p. 54; p. 69-70)

13. Install a procedure for effective review and certification of requests and proposals for funding collection development in the statutory libraries by the Policy and Allocation Board, whether as part of the regular budget process or as special requests. Provision for such review should be made prior to submission of requests to the funding authority. This review should be regarded as part of the allocation process and should be in preparation of an annual campus-wide spending plan.
(Refer to Report, p. 68, 70, 74)

14. As a matter or urgency, design and install a computerized acquisitions and accounting system to be integrated with the accounting component of the serials system.
(Refer to Report, p. 61-62; 74)

15. As a matter of urgency, develop a serials control and accounting system based on the recently created serials data base.
(Refer to Report, p. 61-62; 74)

16. Prepare a set of guidelines to be used in the budgeting and book fund allocation process for the libraries and collections.
(Refer to Report, p. 71-73)

Collection Development and Management Planning

17. Design a management information system providing data and information on size and growth of the collections; price, cost and expenditures; use of materials; user needs and perceptions; academic departments and programs.
(Refer to Report, p. 75-81)

18. Plan a new organizational framework for "Access Services" at Cornell to incorporate the collection management function.
(Refer to Report, p. 83-84)

19. Form a Working Party on Collection Development and an Administrative Study Committee on Funding and Organization to carry out the planning effort for collection development under the direction of the University Librarian.
(Refer to Report, p. 87-90)

The report of the Cornell Project for Collection Development and Management entitled Collection Development and Management at Cornell is made up of two documents, the Interim Report on Activities of the... Project...July 1977-June 1979 and the present Concluding Report on Activities of the...Project July 1979-June 1980 with Proposals for Future Planning. However, these by no means represent the full extent of the Project or its complete documentation. Working papers that were prepared during the Project are listed in Appendix II of this Report. A list of the sets of data assembled during the first stage appears in Appendix II of the Interim Report. Although it could not be completed, a survey of some 975 collection components defined by LC sub-classes containing standardized statements of collecting intensity was conducted by Ms. Susan Livingston between January and August 1978. The data are contained on standard format 5" x 8" cards and are intended for use in the preparation of library/collection profiles.

The draft report on the survey of users of the research collections was prepared by the survey director, Professor David Gautschi, in June 1980. It is expected that after revision and editing, a published version will be issued as a Project publication. An important part of the analysis of the data on graduate students has not been completed but will be incorporated into the final version of the survey report. All of the data from the survey are included in the computer files where they are available for further analysis. A special tabulation from the survey responses relating to individual value comparisons of Cornell collections with those of one other institution with which the respondent was familiar and where he or she had also done research were prepared identifying the other institutions by name. This tabulation is available from the Office of the University Librarian

PREFACE

This report concludes the effort, funded by the Andrew W. Mellon Foundation, to study the major issues involved in collection building and collection management in the Cornell University Libraries and to develop general and specific recommendations for the maintenance and improvement of the collections.

The investigation began in mid-1977 under the direction of Hendrik Edelman, then Assistant University Librarian for Collections. Mr. Edelman, who left Cornell to become University Librarian at Rutgers in January 1979, reported on the first phase of the study in Collection Development and Management at Cornell: An Interim Report...July 1977-June 1979. The remainder of the project was conducted by J. Gormly Miller, who retired as director of libraries at Cornell in March 1979. It is his concluding report which is presented here.

The search for effective instruments of collection building and management in university libraries is as never-ending as that for the Holy Grail. Even during the relatively affluent days enjoyed by libraries in the 1950s and 1960s, there was interest in measuring collection adequacy and providing models and formulas for ascertaining growth rates of collections. The Clapp-Jordan "formula," which was never meant to be a formula at all, is perhaps the best known of these efforts, along with Oliver Dunn's series of statistical studies, The Past and Likely Future of 58 Research Libraries.

The more recent and continuing financial problems of American universities have provided a sense of urgency to this search for useful guidelines. It is our hope that this study and this report will contribute to that effort. Our purpose was a careful and thoughtful examination of what occurs at one major university library as it attempts to provide the scholarly resources needed by its multifaceted community of students and faculty. To the extent that the observations and inferences contained in this report can be generalized, we commend them to the study and use by others.

For our part, we have learned much from this effort--some of which we would have been content to leave unlearned. Self-scrutiny can be disquieting, but during the course of this project it never failed to be interesting. The task now is to make it productive.

We are indebted to the Mellon Foundation for its interest, generosity and patience as it continues to fund relatively quiet projects, such as this, in the hope of advancing scholarship. All profit from its dedication.

The work of the project director, J. Gormly Miller, also is deeply appreciated. He has brought the study to a quite successful conclusion. We commend his work to your attention.

Louis E. Martin
University Librarian

Cornell University
April 1981

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ACKNOWLEDGMENTS

This report owes many of its ideas and its general conception of collection development to the work of Hendrik Edelman who directed the collection development project during its first stage and who contributed much of the initiative for the project.

While I take full responsibility for the content and conclusions of this report and for the proposals that I have put forward, I owe a particular debt of gratitude to Pauline Atherton of the School of Information Studies at Syracuse University for providing stimulating counsel and advice throughout my work on the project.

I am much indebted to Louis Martin, the Carl A. Kroch University Librarian for his patience in waiting for this report to be finished but even more for the insights he offered during numerous discussions of various points that came up during the project.

Substantial contributions have been made during the project and in the preparation of our reports by Dan C. Hazen of the Cornell Libraries' Collections Development Division, and Michael Keller, Music Librarian.

Among the members of the Advisory Committee Hendrik Edelman, now University Librarian of Rutgers University and Jeffrey Gardner of the Association of Research Libraries were particularly helpful in reviewing this report and making helpful suggestions.

Gormly Miller
Project Director

I. INTRODUCTION

Subsequent to the submission of the Interim Report on Activities of the Cornell University Libraries' Project for Collection Development and Management, it was agreed by the Mellon Foundation and Cornell Library officials that the scope of the project as described in the Interim Report would be somewhat curtailed. Major elements of the project already underway were continued and it was understood that the project would be curtailed in such a way as to avoid any serious loss of the work that had already gone into it.

Although it marks the conclusion of the work under the Mellon Foundation grant, this account is not a final report in the usual sense. Rather, it has a dual purpose, 1.) to report on the status of various activities that were developed as part of the project and 2.) to offer a plan for collection development and management at Cornell. The plan will incorporate elements of the project that could not be completed but for which considerable work has been done. The report is being submitted with proposals that follow the original intent and purpose of the project. It has been prepared as a working paper to be discussed and tested by the administration and staff of the Libraries in the hope that it will provide guidance to those working toward fulfilling the objectives of the plan in the future.

From the outset we expected that if the effort and resources that were to go into the project were to have a useful effect, the work would have to continue beyond the termination of the grant. Curtailment of the project has meant that many things did not progress as far as we had hoped. Nevertheless, as we pointed out in the Interim Report, the project was viewed as an integral part of the process of change and development. The important things were to determine our goals, develop the means for reaching them, and encourage the organization to move toward them.

As the project moved into its second phase, the recognition grew that it was a very ambitious undertaking. The decision to curtail its scope provided an opportunity to review its goals and objectives and to modify its methodology. While this review reconfirmed the validity of our goals and objectives, it also indicated that it would be wise to cast them as the elements of a plan extending over a period of years. One of the immediate objectives of the project, therefore, became the design of this long-range plan. Much of the work during the past few months has emphasized the strategies that would enable the University Library system to move toward achieving the goals originally conceived.

Another notable sharpening of focus came in the second phase of the project. The original submission to the Mellon Foundation pointed out the need for differentiating between fields and disciplines in developing collections because of the variations in origin, composition and standards of the scholarly literature.[1] This need demanded a methodology for defining and analyzing the library collections by categories. Although the basic concept remained unchanged as the project progressed, a significant change from the methodology described in the Interim Report emerged. This was in the application of the concept of the "Collection" and consequently, in viewing the aggregate holdings of the library system as a group of "Collections." As described by Mr. Edelman on pages 6 and 7 of the Interim Report this is a very helpful device for breaking down the enormous aggregates of material represented by the large university library systems and for analyzing these aggregates by subject, format, numbers of units and cost. In trying to apply this notion of "Collections" to the quantitative and cost data which we had available or were able to assemble, however, we found that it could not be used as a framework within which to manipulate our data.

As we move to new computer systems for acquisitions and cataloging it is likely that the data generated can be broken down more readily into groupings that can be defined as "Collections." For our purpose of analyzing the large aggregation of library materials within the framework of the plan we found that the smallest manageable breakdowns yielding useful data would be the "Library" as a unit. This was defined on page 6 of the Interim Report as "a group of collections in one location. 'One location' as here employed implies a single building, but parts of one collection can be housed in various libraries." Within the Olin Library--Cornell's central library--a modified "Collection" concept which fits the accounting and reporting practices now existing is being applied to the large special collections that have had a long history within the Olin Library.

Several activities and sub-projects that were in various stages of development at the time the project was curtailed are being fitted into the overall plan. Some of these were carried on during 1979/80; others are projected for future planning.

User Survey

The major undertaking carried on during the past year has been a survey of the users of the research collections of the University Libraries. The objective of the survey was to try to determine how users evaluated the collections and the libraries in relation to their own fields of interest, how they perceived the performance of the libraries in relation to basic library functions that revolved around the collections, and how they used the library collections. The reasons for carrying on such a survey in the context of our long-term planning for collection development were that it was deemed necessary to have the views of library users on the present collections and to have enough of them so that comparisons could be made between libraries and between general fields of interest and activity. We were able to develop data by schools and colleges and for primary users of specific libraries. While the population was not large enough to get breakdowns by departments, we did break out faculty groups for the Humanities, Physical Sciences, Social Sciences, and Biological Sciences. At the same time, graduate students were identified by graduate field codes so that they could be grouped within the same fields.

Three populations were defined in categories which could be readily addressed from existing computer data files and which would encompass practically all the Cornell community using the library collections for research purposes or very familiar with their research use. They were 1.) the faculty with professorial titles and other academic staff with research titles; 2.) graduate students registered as degree candidates in the Graduate School; and 3.) professional librarians.

In order to measure the behavior and perceptions of the three populations, the survey relied on rather detailed questionnaires. The survey instrument was pretested and questionnaires were tailored to the three populations during June and July 1979. They were then distributed and returned in the period October through December 1979.

All full time faculty and research staff (approximately 1,700 persons) received a twelve-page questionnaire. Second mailings were made to those not responding to the first. By January 15, 1980, 910 usable responses had been received. The graduate student questionnaire was circulated to a two-thirds sample of the total enrollment in the Graduate School which did not include the first professional degree students in the Business and Public Administration School, the Law School or the Veterinary School. The total number of graduate student questionnaires distributed was approximately 2,400 with over 1,000 responses being returned.

The library group consisted of one hundred twenty persons. The questionnaire received by the librarians differed considerably from those sent to the faculty and graduate student group. In particular, librarians were given a battery of questions in which they were asked to evaluate several library planning options which were not presented to the other groups.

A special survey designed to check against the mail responses was made of a small random sample of 482 actual library users and was administered at nine campus libraries.

The data collected from the faculty and graduate students were grouped into four categories: (1) background information, (2) library usage, (3) perceptions of the library, and (4) budget reallocations.

To gauge the degree of library use, respondents were asked to estimate the number of trips they made during a relevant unit of time and to indicate which library they used most frequently. The activities in which users engaged when they visited the libraries were measured by asking the respondents to estimate a percentage of time spent on a list of specific activities.

Because one of the major purposes of the survey was to secure some appraisal of the research collections by library users, considerable emphasis was given to the evaluation of specific dimensions of library research support. In order to make these evaluations as concrete as possible, respondents were asked for comparisons with specific institutions with which they were familiar as well as for evaluations irrespective of the other institutions, but in terms of adequacy of support in relation to the respondent's field of research.

A draft final report of the survey has been prepared and after further review and analysis of the data, it will be published as a special report of the Collection Development project.[2] In the meantime, a report of methodology used in the survey will be prepared. A code book has been compiled for use by interested individuals or institutions in manipulating the computer files of data.[3] These are available at cost upon application to the University Librarian, Cornell University, Ithaca, New York 14853.

Data Collection

Among other activities, considerable attention was given to continuing the data sets that had been begun during Mr. Edelman's direction of the project. In addition, several other data sets were tested in an attempt to determine their value for analyzing dimensions of growth or providing cost data.

a. Current Serials Data Base

The most significant of these was the creation of a Current Serials data base in machine-readable form. This derived from the Cornell University Libraries' List of Serials Currently Received that had been manually compiled and published in several editions over an 18-year period. The records in the computer file that was created were a modified and simplified MARC serials format and included approximately 39,000 current serial titles in the file. It was intended that the cost data on each serial title would be included for each record. Unfortunately, the cost data were complicated by such things as currency variations and different billing practices among publishers and subscription agents. Therefore, in the interest of prompt compiling of the bibliographic and holdings records, cost data were not included in a sufficient number of instances to be able to complete aggregates or averages. However, several helpful tabulations were drawn as models for possible future data collection from the serials file. These were:

1. Number of Titles by LC Class for All Libraries
2. Number of Titles by LC Class by Library
3. Number of Duplicate Titles by Library
4. Number of Titles by Language by LC Class and by Library

The University Libraries are continuing to update the serials file and it is expected that the data derived will form an important part of the statistical reporting system proposed as part of the long-term plan.

b. Shelf List Measurement

One of the important tools we are planning to use for the statistical description of the Collections and for measurement of growth is the shelf list measurement device developed by Leroy Ortoplan at the University of California (Berkeley) in collaboration with his colleagues in the Discussion Group of Chief Development Officers of Large Research Libraries.[4] Originally intended for use as a means of making comparisons between subject holdings of titles in large research libraries, its potential local use for collection analysis promised to make it an important means of collecting data for collection development planning at Cornell. Its use nationally was illustrated in the data from the Ortoplan report presented in Machlup's survey in 1978.[5] Though referred to as a shelf list count, it is not strictly a count of titles but a method of measurement which results in an estimate of the number of titles held in a series of LC classes which can be broken down to whatever degree of refinement may be desired. Its application at Cornell in 1973, 1975 and 1977 is described in the Interim Report, p. 14-15. The 1977 measurement conducted as part of this project was correlated with a physical count of items in the Libraries and Collections that was made in preparation for the project in June 1977.[6] This was an actual census by LC class of physical items on the shelves or recorded in any loan file on a specified date in June 1977.

For the purposes of collection development planning, the shelf list measurement offers a relatively inexpensive method, not only for describing the Cornell Libraries and Collections by subject at a point in time, but of being repeatable at relatively frequent intervals in order to measure growth in particular segments of the collections.

During 1979 a fourth in the series of shelf list measurements was undertaken. Although the mechanics of the operation duplicated the procedures that had been followed in the 1973, 1975 and 1977 measurements, the results showed serious inconsistencies with the earlier data in the series and with the base data generated by the 1977 physical count. Even in the larger aggregates for the Humanities and Social Sciences there were serious discrepancies between titles added according to the shelf list measurement and totals derived from cataloging or acquisitions records. The earlier measurements in 1973, 1975 and 1977 appeared to be internally consistent and conformed fairly well with totals from other sources.

By the time the 1979 data was finally keypunched and tabulated on the computer in the summer of 1980, staff changes and other conditions made it difficult to determine the causes of the discrepancies and inconsistencies. Two contributing factors may have been keypunching errors and miscounting by casual employees in the measurement processes. These were minimized in the earlier measurements where a constant monitoring of the data by collection development staff made it possible to detect and reconcile inconsistencies quickly and correct errors by remeasurement and verification. It has never been asserted, of course, that shelf list measurement was a precise instrument and it was never intended to give other than an approximation.[7]

Our experience by no means suggests that the shelf list measurement methodology is faulty in concept or in principle. In fact, as our experience in trying to design alternative devices indicates, it is the only economical device with the potential to provide reasonably accurate collection data according to both specific and very broad subject breakdowns. It needs further refinement through more frequent application. The problems we experienced at Cornell resulted from the application of the methodology, not from the methodology itself.

In planning for its future incorporation as part of a management information system, it will be important to develop a more rigorous procedure for applying the system and to restore a control for monitoring the process of assembling the data and reviewing it in the course of compiling it before it is entered into a computer data file. A written procedure is required to set down the exact time frame to be covered, to spell out in detail the process by which measurements are to be taken, to explain the steps in preparation for the keypunching process, to describe a review and editing system at the measuring stage, and to assure that the verification of the keypunching is completely accurate. The schedule for measuring should be rigidly prescribed so that the operation can be closely monitored as it proceeds. A more detailed comparison of the 1979 tabulations with those of previous years than we have had the opportunity to make will be required. At the same time, a further effort should be made to reconstruct exactly how the 1979 measurement was carried out in relation to the procedures followed earlier.

c. Other Data and Information

Less ambitious statistical collection efforts included an effort to prepare a local index of periodical prices and the taking of a census of the volumes received in five campus libraries during the period September through December 1979 by LC classes and by type of document. The latter effort was prompted by the problems we were finding with the shelf list measurement procedure. Even though limited to a few Libraries, this means of accumulating data on items added by subject proved cumbersome, though presumably it could be routinized and simplified to the point where it might prove an alternative to the shelf list measurement process.

At the time the project was curtailed at the end of 1979, it was planned to experiment with the computer programs developed by Glyn Evans and his associates at State University of New York Central Administration. These were designed as part of a responsive library management information system. They perform a variety of collection development analyses using machine-readable cataloging (MARC) records available from OCLC.[8] The bulk of Cornell's cataloging records from 1973 through 1980 are in this form. It appeared that the type of analyses that could be done with the SUNY programs might serve to replace the shelf list measurement method. Unfortunately, this investigation still needs to be carried out to determine how the SUNY programs could be applied in the context of Cornell collection development planning.

Program for Long-Range Planning

As the Interim Report stated "one of our goals has been to institutionalize a more sophisticated approach to collection-related planning..."[9] Therefore, once the user survey was well along, attention was directed to preparing proposals for long-range planning. Because of the curtailment during the last six months of the project, a number of the special projects and planning studies originally considered could not be carried on. In any case it had been recognized even at the beginning of the project that "the emphasis must be on the process rather than on the immediate product."[10] The principal project activity since February 1980 has been to lay out the procedures for developing a long-range plan for collection development and to describe the components of the plan so that the process could be carried on by the library administration and staff. At the same time, much of the data and information assembled during the project will be available for further collection analysis and measurement so that even if some of the planned activities of the project could not be completed, the unfinished results can be used and will not be wasted.

It is intended to outline some detailed prescriptions for a plan for collection development and to suggest how the functions of collection development and collection management could be organized and carried out at Cornell. Rather than present fixed recommendations, we suggest several proposals for discussion and review by the University library administration and staff. The report's view of what the role and mission of the University Library System should be is somewhat different than that which we now have. It reflects circumstances where the opportunities for growth are going to be steadily more limited by funding constraints at the same time that the pool of potential library materials becomes both larger and more diversified, and the demands of client groups within the University intensify and multiply. It recognizes a broadening world of information needs and resources, and it describes how the University Library System could function within a university-wide information resources network.

Presented for examination and discussion is a proposal for a possible organizational restructuring of the collection development function within the University Library System. This is followed by suggestions for planning collection development policy and for preparing guidelines for the allocation of book funds.

Both of these aspects of collection development planning require a great deal of data and information, and the present status of data gathering for the project should be reviewed and the next steps for systematizing statistical reporting planned. These are suggested as immediate requirements of the next phase of the planning process.

Collection management is presented as a separate and concluding element for the planning schedule, although some of the processes associated with collection management cannot be performed apart from the collection development function.

Changes in the means by which the collection development function is carried out are already being made. It is important that they fit into a coherent plan. Therefore, the planning process should begin promptly. The proposal we make is to form immediately within the Libraries a Working Party on Collection Development and an Administrative Study Committee on Funding and Organization of Collection Development and Management.

II. ROLE AND MISSION OF THE UNIVERSITY LIBRARY SYSTEM

Most of the issues and problems that motivated the Collection Development and Management Project derived from the increasing costs of providing library services and maintaining and continuing to build the library collections. Therefore, the primary long-range goal involved the control of growth in relation to available resources and the rationalization of resource allocation for collection development and management. The typical responses that had been made previously at Cornell and elsewhere under the circumstances of increasing needs and decreasing resources were to reduce duplication, cut back journal and serial subscriptions, improve staff efficiency, reduce staff positions, allow for some deterioration of collections and services, defer or suspend retrospective acquisitions, and eliminate allocation of general funds for support of special collections. The application of these adhoc measures at Cornell was described in a self-study done in 1975.[11] At that time, little attention was paid to assessing the impact of these measures against the mission of the University Libraries except in a very casual way. Their impact was assessed only in terms of the specific programs directly affected by them. Like most other university libraries, the library administration and library staff had a strong sense of dedication to service and support of students and faculty, but mission and goals had never really been thought through beyond a very general and vague statement that was evolved out of a planning exercise in 1973:

> "To provide bibliographical, physical, and intellectual access to recorded knowledge and information consistent with the present and anticipated teaching and research responsibilities and social concerns of Cornell University."[12]

This statement sets no limits, and makes no distinctions among the variety of client groups making up the University's programs of research, instruction and public service.

As the Interim Report for this project points out, the collection development function cannot be viewed uniformly in the context of a large research university. While the collection development processes at Cornell or any other large research library, selection, acquisitions, withdrawal, organization of materials and bibliographical control, are the same as for any information system based on documentation in any form, the procedures and sub-systems within these processes and the characteristics of the materials being handled are very different among the various disciplines, subject matters and geographical areas being served. For instance, the acquisitions process for building and maintaining a collection in Fine Arts is quite different than that for a collection in labor relations. These differences may be functions of the characteristics of the documentation, the way information is handled in a field, the patterns of research and teaching or, most importantly, the needs of users within particular client groups. The needs of the client groups and how they themselves perceive those needs are very different in relation to the library system as a whole and to the individual libraries they depend on most heavily. In the attempt to develop a framework for the analysis of these differences and the variables in the collection development processes resulting from them, it became evident that the mission statement for the Cornell Library system and the staff impression of overall goals needed close reexamination.

During the years from the 1930s to the 1960s and into the 1970s, administrators of large university libraries thinking in terms of conventional library operations concentrated on the centralization of library functions, including collection development. It was assumed that economies of scale would result and that standardization of procedures would produce more efficient operations. The role of specialized libraries in the University scheme of things was assumed to be that of subordinate branches in those cases where it was not possible to merge them in a central library or larger division. Little attention was paid to the newer concepts of information science. It was generally assumed that the library collections were the major information resource for scholarship and teaching, and that the library catalog would be all-encompassing and the major point of bibliographical access to all collections. The idea of special collections was used to deal with some of the problems of diversity and the differences that had traditionally existed where libraries were called upon to deal with collections of archives, literary manuscripts and rare books.

In a 1952 paper on "Emergence of a New Institutional Structure for the Dissemination of Specialized Information" Jesse Shera identified many of the problems that university libraries were being faced with but which librarians, particularly librarians of large university libraries, were not dealing with. The conditions and trends identified by Dean Shera have, as he forecast, intensified. The volume and complexity of the literature in all fields has increased, the physical form in which recorded material appears has been altered, differences in the needs of users in different fields of study have intensified and, with the advent of the computer, the bibliographical apparatus is probably being changed beyond recognition. Some of the implications of these trends for collection development were recognized in our *Interim Report*.[14] Consequently, we found it necessary to redefine the role of the University Library system and to restate its mission and goals.

In looking at the future role of the Cornell University Library system, we concluded that it should concentrate its resources in those areas of activity where it was best equipped to function and avoid extending its responsibilities to information resources and services that could be better handled by other means. In the face of the expanding information needs of scholarship and research and the increasing variety and sources of information, there has been a tendency on the part of both university administrators and university library administrators to assume that existing library structures could and should handle all of the new materials with the processes and services needed to provide access to them. At Cornell within the last two years, for example, this might have involved, among other ancillary activities, a Space Image center and organizing and servicing machine-readable data files. In deciding not to expand the role of the University Library system, but to concentrate on those collections of material, functions and services that it was best equipped to handle, we were greatly influenced by the recognition that the University administration would not be ready to allocate to the Library administration the funds to expand its responsibilities for information systems and resources since such funds would have to come from other academic departments of the University. Furthermore, apart from the political problems that this would raise, the library administration strongly felt that the faculties, centers, institutes and other academic divisions or specialist client groups were in a better position to judge their special information requirements and needs over and above those the library system was prepared to meet. This assumed also that the determination of how resources available to these academic divisions were to be allocated--whether to the library system to meet special information needs, or to meet those needs through some means other than the library, or to invest the resources for other purposes--remained with the academic division.

By choosing a somewhat limited and traditional role rather than an expansionist view of its responsibilities, it is hoped that the University Library system would not limit itself to traditional ways of doing things. The potential of the new technologies for enhancing the manipulation and usefulness of its resources of books and documents in print or microform must be fully exploited if improvements in services, functions, and processes are to be made and the consequences of inevitable growth are to be dealt with.

At the same time, the question of dealing in a wider context with the problems of information storage and handling are of concern to the Library system even though they are seen as problems that should be addressed by the University as a whole, as well as by its constituent parts. If the University is not to leave its extensive information resources and the multiplying University agencies involved in information storage and handling to uncoordinated interests and the pressures of individual specialists, research groups and other academic units, the application of the networking concepts developing as a feature of information system theory seemed applicable to the library situation. Large universities and university library systems have recently gone far in applying networking ideas between institutions as witness EDUNET, OCLC, the Research Libraries Group (RLIN), and the Center for Research Libraries, but they have done very little in applying these techniques to the internal structures and operations of single institutions.

Therefore, the idea of the information system within the university being comprised of a network of libraries, documentation centers, information centers and services seemed to fit existing circumstances by accommodating the diversity of needs of client groups, the volume and variety of materials required by them, and the differences in the degree of machine use in the processing of information. By viewing the library system as an important sub-system within the University's information network but not as the administrative structure for controlling it, we could define and limit how the libraries would function.

Insofar as collection development is concerned, our principal difficulty in dealing with the vague generality of the present mission statement and somewhat confused perception of goals is the lack of a policy for dealing with specific cases arising where either existing or new academic programs or specialities require changes or additions to the kinds of documentation or informational material being acquired. Because of that lack, the libraries have no adequate way of responding systematically to new or changed demands or requirements. At the same time, the inadequacies of the conventional catalog, whether in card form or as a machine-readable record, in dealing with such specialized materials as census publications, technical information reports, data tapes, microform sets, or large volumes of special materials such as company reports, collective bargaining agreements, or city and regional planning documents tend to inhibit rather than facilitate access to large portions of our resources. Existing policies based on the notions that all materials being received in the library collections are to be treated uniformly and receive full conventional cataloging treatment in order to be incorporated into a union catalog do not allow for flexibility or encourage the use of new means of bibliographical control. They result in a bibliographical record that is at once too costly and not adequate for the needs of users.

In defining the role of the university library system as part of a university information network, we are not proposing an organizational blueprint of the latter for the university to adopt in a formal sense. (See Chart I) The notion of the network will serve as a framework within which we can describe what functions and responsibilities the library system will and will not be able to carry out. The extent to which the university administration wishes to recognize the network beyond the library system will be for the university authorities to decide--we hope in consultation with library academic officers.

The role of the library system within the university should and will encompass three areas of responsibility or concern:

1. The first is its traditional function of providing the scholarly record. For the purposes of collection development this requires redefinition and elaboration.
2. The second is providing bibliographical access. This, too, needs to be better defined in relation to the cataloging process and other access means and devices.
3. The third responsibility is the clearinghouse or referral function by which the library system relates to the total University Information Resource Network.

The degree to which the clearinghouse function can be developed as a library responsibility will depend on action by the University administration. It could range from providing a simple referral service to serving as the official central point of access to the resources of the entire network. In the latter case it would presumably require computerized online data files comprising bibliographical and other catalog records along with acquisition, inventory and other descriptive records encompassing all or most of the diverse information resources in the network. In this circumstance the library system would be involved in information resource management on a large scale even though not exercising a control function. In any case this would go far beyond collection management within the library system.

There is the possibility of a fourth area of responsibility (depending upon a variety of circumstances): a coordinating function with respect to the University information network. This, however, implies a more formal structure for information services and resources than can be anticipated at Cornell in the near term.

To establish this approach to the role of the University Library system, we are proposing that a revised mission statement be adopted.

MISSION STATEMENT

The mission of the Cornell University Library system shall be:

Resources

1) To develop and maintain an extensive world-wide selection of the published scholarly and official records adequate to support and encourage the long term research interests of the university's faculty and scholars;

2) To provide libraries of instructional and curriculum support materials emphasizing the printed word but including selected materials from other media;

3) To supplement the core collections with special collections of research materials that are of interest to a broad segment of client groups;

4) To provide, under specified circumstances and funding arrangements, specialized documentation to support the information needs of the research and public service programs of particular client groups.

Access

1) To provide through its several Libraries, Collections, and storage facilities physical access to all of the library materials comprising the Cornell library collections;

2) To provide through the library catalogs and other means of bibliographical control bibliographic access to all collections of library materials under control of the library system;

3) To facilitate access by adoption of computerized systems including online catalogs, serial and acquisition records, inventories and other descriptive records for the purposes of manipulating the elements of the local bibliographic apparatus, and to use these as a means of extending access to all information resource centers in the University through a central exchange or clearinghouse.

4) To offer bibliographic access to major libraries and collections throughout the world by means of the Research Library Information Network and other computerized systems, and by published catalogs or other bibliographical records.

Information and Library Services

1) To provide a range of reference, bibliographic, and other information services to the Cornell community;

2) To offer special bibliographic and information services adapted to the special needs and funding resources of particular academic programs or client groups;

3) To extend library and information services to the scholarly and professional communities of New York State and elsewhere as may be feasible within the resources available;

4) To enhance services with online computerized information retrieval devices using local, regional and national data bases, and with other technological aids as they are developed;

5) To serve as a central referral service to all services and centers outside the library system that may participate in a campus-wide university network of information, documentation and media centers engaged in the storage, processing, exchange or transfer of information.

III. THE EVOLUTION OF THE CORNELL UNIVERSITY LIBRARY SYSTEM AND THE COLLECTION DEVELOPMENT FUNCTION

The development of the numerous libraries of Cornell University into a campus-wide system stems from the appointment of Stephen A. McCarthy as Director of the University Library in 1946 and from the recommendations of a team of surveyors whom he brought to the campus in the fall of 1947. This team, consisting of Louis R. Wilson, Robert B. Downs, and Maurice F. Tauber, completed their work with the Report of a Survey of the Libraries of Cornell University, published early in 1948. The findings and recommendations of their survey formed the basis for the evolution of a campus-wide library system out of a miscellaneous assortment of separate libraries serving particular schools, colleges, and departments.

During the early stage of development, the objective was to move toward a highly centralized library administration.[15] To a considerable degree, this was achieved for all but one of the privately supported libraries with the partial centralization of their budgets and fiscal control in the Director of the University Library. This arrangement excluded the Law Library and the State-supported units, and subsequently, the objective of a highly centralized system for all campus libraries was given up and emphasis was placed on improving coordination and standardization of procedures with the central administration offering services and support. As a result, the Law Library and the State supported units were brought within the orbit of the system, although the administrative arrangements relating them to the system were different.* In practice, the system functioned as an interconnected cluster of libraries related rationally through a relatively loose administrative structure that allowed for diversity and individual development, as well as for the linkage that provided common policies and improved functional relationships and facilitated communications, standardization and such system-wide services as a union catalog.

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*The Cornell University Library system includes several libraries that are largely funded by the State University of New York These so-called statutory college libraries are administered by Cornell University. They are the Mann Library (Biological Sciences, Agriculture and Human Ecology), the Catherwood Library (Industrial and Labor Relations), the Flower Library (Veterinary and Comparative Medicine).

The major organizational action which stimulated the formulation of the policy that now explains the library system was the decision to merge the collections in the biological sciences--except for Veterinary Medicine--in the Mann Library, a State-supported unit serving the College of Agriculture and what was then the College of Home Economics. At about the same time, the University undertook a major reorganization of teaching and research in the biological sciences, culminating in the formation of a Division of Biological Sciences.

Earlier, a substantial transfer of material in the field of labor history and labor unions from the central library collection to the Industrial and Labor Relations Library took place. To a considerable extent, these materials formed an important part of the retrospective collection of the Industrial and Labor Relations Library. The biological sciences move was soon followed by the decision to develop the College of Architecture library as a Fine Arts Library.

These actions expressed the concept that all of the principal units of the library system were in fact University libraries serving a broad university-wide constituency rather than functioning primarily as college, school, and department libraries. Because of tradition and the existing configuration of the teaching and research programs in various academic disciplines and subject matters, the development of the libraries into a rationalized set of divisional libraries with responsibilities for an integral subject matter area has not been fully realized. One of the objectives of this plan is to move further in this direction.

As the libraries evolved from a completely decentralized group of libraries to a more coordinated system, sharing common objectives and carrying out functions and processes in a pattern that made each unit complementary to all other units, the collection development function and its associated processes changed as well. Although efforts were made in the early stages of system evolution to centralize selection and to establish a pattern of centralized administrative control of the funds and of the acquisition process, the built-in tradition of a highly decentralized arrangement, reinforced by complicated private and state funding patterns, determined a different path of development.

Initially, there was very little coordination, and collection development was carried on within each library with little reference to an overall plan. The effort to centralize was made first among the libraries funded through the endowed divisions of the University, where control of funding resided with the University Library administration. A considerable degree of centralization was achieved for this group of libraries because of a combination of funding control and an individual in a position to exercise control, Felix Reichmann, a man with a vast range of book knowledge, broad scholarship and an incredible capacity for dealing with huge amounts of bibliographical information.[16] Tentative efforts to apply the same pattern of central selection and control to the Law Library and to the libraries funded through the State-supported divisions were not so successful.

Nor could these patterns of central selection and control be applied to a third category of library units that was evolving as a major element in collection development at Cornell. These were the area collections where a variety of funding sources, uncommon languages, different patterns of distribution, and different requirements by users established conditions that could not be fitted into the standard procedures.

In spite of the experience with the area collections and with the problems of acquisitions of specialized materials in other campus libraries, notably the Business and Public Administration Library, the Industrial and Labor Relations Library, and the regional and urban planning collection in the Fine Arts Library, there was until recently little recognition that the processes and procedures associated with the collection development function could not be standardized nor easily centralized. It was Hendrik Edelman, Assistant Director for Collection Development for 1970 to 1979, who was the first in the Libraries' central administration to address the problem, particularly as it affected collection development among the Asian studies collections.

Although the last formal effort toward formulating a general collection development policy had been in 1966, a rather broadly conceived policy evolved during the final years of Mr. Edelman's incumbency as Assistant Director for Collection Development. This policy was never formally stated in writing, however.[17] Growing as a corollary of the effort to define the university-wide role of the individual libraries in parallel to the central research collections, it was an effort to strengthen the resources available in the specialized libraries of the system for the special research and information needs of their client groups. For example, it was expected that the Industrial and Labor Relations Library would intensify its collecting of a narrowly defined core of academic and official publications, of the applied literature derived from practice and experience and of the specialized documentation and primary source material associated with it. At the same time, it would limit its acquisition of material in the supporting academic fields of the behavioral and social sciences, and rely more heavily on the basic research collections of the central research library. In other words, in those areas served by a special library, the central research library was seen as the secondary support resource for the special client groups who needed access to the theoretical and basic literature of the academic disciplines related to their research interests.

This model has succeeded in Business and Public Administration, Industrial and Labor Relations, and Regional and Urban Planning. It has not succeeded with the engineering client group, where the basic research collections in physics, chemistry and mathematics are not in the central research library but in the physical sciences Library. In terms of user satisfaction, the Mann Library, which serves client groups engaged in both basic and applied research in the biological sciences, seems to gain approval, in part at least, because its collections include both the core literature of the basic biological sciences and the applied fields of agriculture.[18]

The results of the survey of users of the research collections, done as part of this project in 1979-80, indicate that the use patterns of various faculty groups are compatible with the notion of the central library collections serving as a secondary support library, and that their primary library use is distributed among the other campus libraries. Of the 910 respondents, over 75% reported using the central research collections (Olin Library), but only 21.5% of the respondents identified it as the library they used most frequently. The remaining 78.5% of the sample identified one or another of the other system libraries as their primary library. The graduate student group distributed itself similarly among the campus libraries.[19] At the same time, all of the libraries except for the Music Library and the Hotel Library identified clients from more than one college or school among their primary users.[20]

As the general understanding of the collection development function was modified and evolved from the ordering of books and the placing of subscriptions to include relating the collections and their future growth to the needs of users and patterns of research use and to the future resources of the institution, radical changes took place in the processes of selection, acquisition, and bibliographical preparation. Like many other university libraries, during its early years Cornell did not perceive collection development as a major library function. The early stage of collection development at Cornell after World War II is described in the article by S. A. McCarthy, "Felix Reichmann and the Development of the Cornell Library" appearing in the October 1966 issue of Library Trends.[21]

No major change in collection development was experienced upon the retirement of Felix Reichmann. The selection and decision-making process during Mr. Edelman's tenure from 1970 to 1979 continued to focus on the Assistant Director for Collection Development much of the responsibility for the collections supported from endowed funds of the University. As in the earlier period under Felix Reichmann, the Assistant Director was the responsible officer for the allocation of general University appropriated book funds and for their disbursement. In the basic disciplines in the humanities and the social sciences, which are concentrated in the central library collections, he initiated as well as authorized the acquisition of material. In general, the other endowed libraries initiated acquisitions for their particular collections with authorization through the Assistant Director. In the process where the State-supported libraries were concerned, the Assistant Director functioned as a coordinator who seldom intervened directly if generally accepted but informal acquisitions policies were followed. He exercised his campus-wide coordinating responsibilities through several committees for the social sciences, the sciences and for serials. The social sciences and the sciences committees had campus-wide representation, including the central technical services departments concerned with serials, government publications and monograph acquisitions.

The analysis of the crucial decision-making process and the problems of fund allocation as they are now seen within the Cornell collection development function is included by Hendrik Edelman in his Interim Report for this project.[22]

It was clear at the time this project was undertaken that the collection development function was highly personalized. It had been formed over a period of more than thirty years by two strong Assistant Directors, Felix Reichmann and Hendrik Edelman, each combining great capacity for leadership with a wide ranging knowledge of the scholarly and research literature of western Europe. They represented a rare combination of talents. In formulating one of the objectives of this project, we have acknowledged that we could not depend on a continuation of these circumstances. The responsibilities for collection development should be institutionalized in a structure recognizing the essentially decentralized character of the Cornell Library system, the variations and differences in the collection development and acquisitions processes, and the unique features of the special libraries and area collections.

IV. THE LIBRARY SYSTEM AS PART OF THE UNIVERSITY INFORMATION RESOURCES NETWORK

By redefining its mission statement we are focusing on the goals and responsibilities of the library system for supporting the information needs of the University's research, instruction, and public service programs. Its interconnections with other nodes in the University's information resources network need to be clear. Although that network does not, at this stage, have a collective identity, it does exist and it is essential to give it some definition in order to describe the University Library's role and responsibilities more precisely. The library system operates within it and is one of its major elements. The information resources network contains many types of units and facilities. It is not a computer network although computerized information is a critical component of many of the systems and sub-systems within it. It comprises, in addition to the library system, other libraries outside the library system, art galleries, and museum operations, special documentation centers, video and audio-visual collections, publishing centers, professorial office files, and computer data files and computer data bases. (See Chart I, pages ~~27~~ 43 and ~~28~~ 44)

It is assumed that in most cases collections of published material in print format or in derivatives of the print format, such as near print documents or microforms, will be contained within the library system. There are and will continue to be collections of these materials designed as working aids or laboratory aids for specific groups that will not be managed by the library system. They would nevertheless be considered as minor nodes in the information resources network, but without any kind of network bibliographical control. In most instances of this kind, these would be duplicate collections.

However, there may also exist outside the library system highly specialized research collections of documents that may or may not include published print or near print materials. In these cases, the library system may be required to include records of the documents in its bibliographical control system with appropriate charge back to the controlling unit to cover the total costs of processing.

The computerized information systems will probably spread more rapidly than any other components of the information resources network. Presumably, the library system will manage its own data bases, such as online catalogs or serial records, but other locally resident data bases will be managed either by the Computer Center or by the University unit controlling it. In any case, the University Library system should be in a position to access directly, either by a hard wire connection or dial-up, such locally resident data bases as one made up from census tapes or other publicly-available data; and non-library campus terminals should be able to access library-managed data bases so that the online catalog will be on the campus computer network.

The library should be encouraged with adequate funding to set up within the library system a clearing house to provide identification and descriptive information about other types of information repositories such as art galleries, slide collections, collections of objects or images, collections of audio-visual materials and libraries or document collections outside the library system. Similarly, the library system, through its responsibilities for the University archives, should act as an information clearing house for central office files and archives.

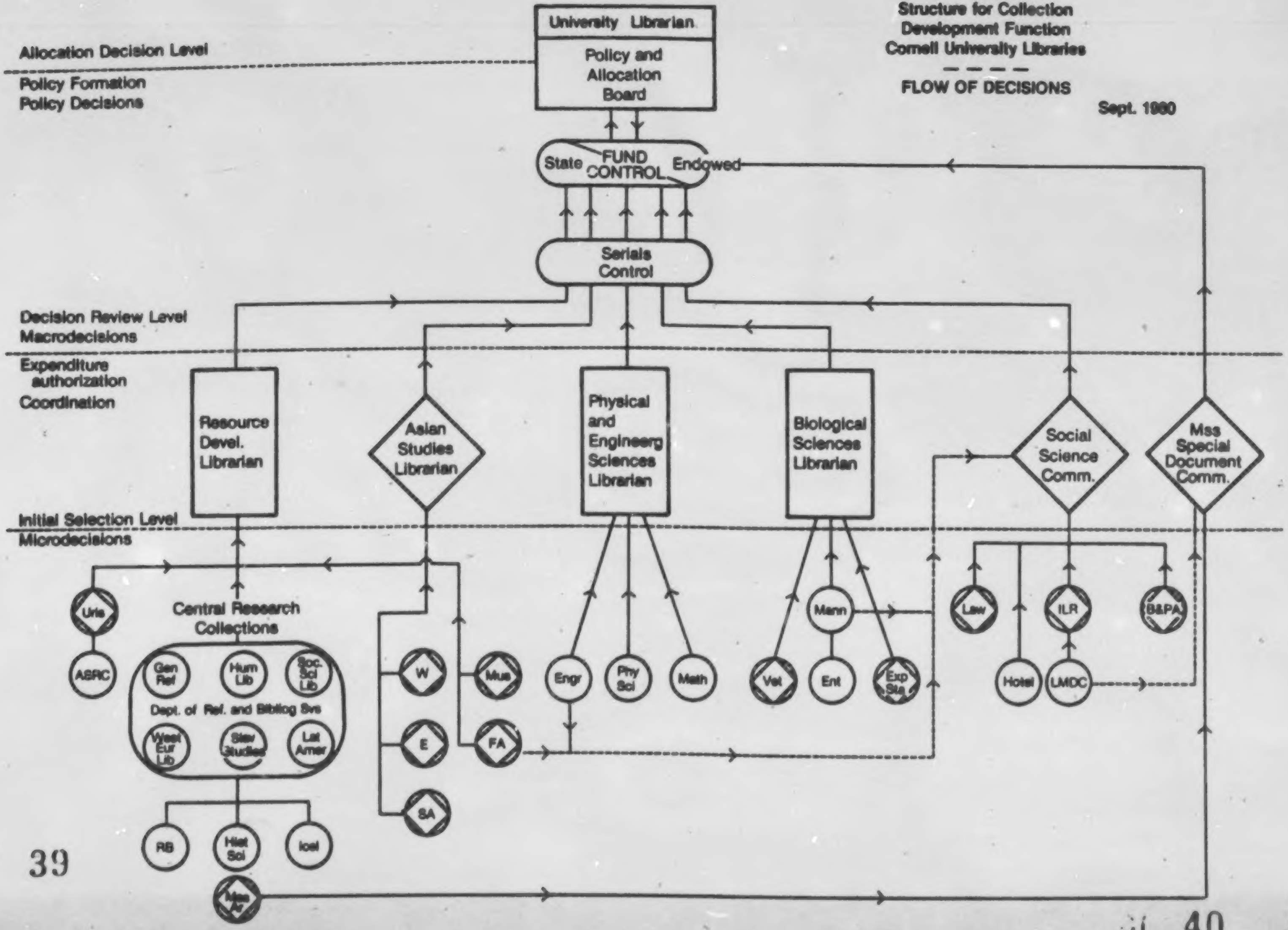
In those cases where machine-readable catalogs, lists, or schedules are available, they should be directly accessible to the clearing house center, either online or in hard copy or microform. Research collections or documents, books and journals should be incorporated in the library system online catalog data base with the responsible agency providing total cost reimbursement for processing.

Connections with personalized information centers existing by reason of an individual professor's expertise or by informal associations of professors and research staff cannot readily be structured and the clearing house function would exist only as it does now on an informal and casual basis.

No flow of information from administrative files or ordinary office files to a clearing house need exist. Individual computer files and tapes containing research data would be linked only into the academic service bureau of the Computer Center. For these the library clearing house function would be performed through referral to the Computer Center.

Chart I shows a complexity of nodes and relationships which are in place even if they are not formalized. Important decisions and plans for collections development can only be made within the limited context of the library system because the university administration makes or should be making decisions about information resources across all points of the network.

CHART II



Allocation Decision Level
Policy Formation
Policy Decisions
University Librarian
Policy and Allocation Board
State
FUND CONTROL
Endowed
Serials Control
Decision Review Level
Macrodecisions
Expenditure authorization
Coordination
Resource Devel. Librarian
Asian Studies Librarian
Physical and Engineerg Sciences Librarian
Biological Sciences Librarian
Social Science Comm.
Mss Special Document Comm.
Initial Selection Level
Microdecisions
Uris
ASRC
Central Research Collections
Gen Ref
Hum Lib
Soc. Sci Lib
Dept. of Ref. and Bibliog Svs
West Eur Lib
Slav Studies
Lat Amer
RB
Hist Sci
Icel
Man Ar
W
E
SA
Mus
FA
Engr
Phy Sci
Math
Mann
Vet
Ent
Exp Sta
Law
ILR
B&PA
Hotel
LMDC

Proposed
Structure for Collection
Development Function
Cornell University Libraries

— — — —
FLOW OF DECISIONS

Sept. 1980

Chart of Proposed
Structure for Collection
Development Function
FLOW OF DECISIONS

Explanation of Chart Symbols

○ — Initial selection responsibility.

◈ — Initial selection responsibility with expenditure authority for "micro" deicisons.

▯ — Expenditure authority; selection review responsibility;
Decision-making responsibility for "macro" decisions and decision on whether policy decisions are required.
May submit matters to Policy and Allocation Board.
May prepare preliminary budget submission.
Coordinating responsibility.
Assists in policy formulation.

◇ — Coordinating and review responsibility.
Assists in policy formulation.

⬭ — Control points.

▭ — Policy formulation; policy decisions.
Allocation decisions.

—→——→— — Flow of selection decisions for material relating to primary collection interests.

--→------→-- — Flow of selection decisions for material relating to secondary collecting interests.

Abbreviations

ASRC — Africana Studies Research Center Library
B&PA — Business and Public Administrative Library
E — John M. Echols Collection
Engr — Engineering Library
Ent — Entomology Library
Exp Sta — Experiment Station Library
FA — Fine Arts Library
Gen Ref — General Reference
Hist Sci — History of Science Collection
Hum Lib — Humanities Librarian
Icel — Icelandic Collection
ILR — Industrial and Labor Relations Library
Lat Amer — Latin American Studies Librarian
LMDC — Labor Management Documentation Center
Math — Mathematics Library
Mss Ar — Department of Manuscripts and Archives
Mus — Music Library
Phy Sci — Physical Science Library
RB — Rare Books Collection
SA — South Asia Librarian
Slav Studies — Slavic Studies Librarian
Soc Sci Lib — Social Science Librarian
Vet — Veterinary Library
W — Wason Collection
West Eur Lib — West European Studies Librarian

V. GOALS AND OBJECTIVES OF A PLAN FOR COLLECTION DEVELOPMENT AND MANAGEMENT

The long-term goals of the suggested plan were derived from the issues and problems described in the Interim Report.[23] A proposed set of these goals is outlined in Table I, along with specific immediate objectives that must be accomplished in order to move toward the achievement of the goals. Some of the immediate objectives are included in the report or mechanisms are suggested that may be used in carrying them out.

Table I

PLANNING FOR COLLECTION DEVELOPMENT
AND MANAGEMENT AT CORNELL

GOALS AND OBJECTIVES

Part A	
BACKGROUND FACTORS - ISSUES AND PROBLEMS	Impact on Cornell University Libraries of: 1. Perceptible decline in acquisitions in the face of a series of environmental pressures. 2. Shifts in the nature of academic literary output and in the information requirements of academic research. 3. Increasing dissatisfaction among college and school administrators, faculty, and library staff with the method of allocating funds among subject fields. 4. Concern over projected space needs for continued growth of library collections. 5. Continued increases in cost of library materials. 6. Increased problems in the distribution and location of materials within the library system. 7. Increasing complexity of collection building process and its associated bibliographical apparatus in large research libraries.

Table I (continued)

Part B	
LONG RANGE GOALS	1. Create a management system which will assist the Library administration in: a. Controlling growth of collections in relation to available resources; b. Determining the collections to be supported at increased levels, at existing levels, or at reduced levels; c. Rationalizing decisions for the allocation of Library funds among Collections and Libraries for acquisitions and other collection development purposes, and determining, with the University administration and academic sectors of the University outside the Library system, how funding support for special program purposes within the Library system is to be derived; d. Making accurate predictions about short-term requirements for different Collections or libraries, for example, "Format" mix; funding, degree and kind of resource sharing; e. Projecting space needs; f. Anticipating needs for changes in staffing patterns. 2. Develop a long-term program for collection development and collection management which: a. Involves collection level library staff and college and department faculty so that the structure and organization of these functions are well adapted to the complexities and unique features of the academic programs at Cornell; b. Relates the program for collection development to the concept of a wider University information resources network within which the Library program functions; c. Suggests a structure for such a network, and makes some effort to provide a structure for it no matter how loose or decentralized. 3. Plan for changes in the overall system of bibliographical control and for the full exploitation of the potential of computer applications.

Table I (continued)

Part C - SYSTEM LEVEL	
SPECIFIC OBJECTIVES IN SUPPORT OF GOALS	1. Examine and make recommendations concerning the present structure and organization of the collection development function within the Library system including how it relates to the collection management functions.
	2. Determine means of discriminating between "core" collections essential to the mission of the Library system and specialized bodies of material for support of specific programs.
	3. Design a model of the decision-making within the selection process.
	4. Establish an internal budgetary mechanism to allow for extra-budgetary funding of specialized bodies of material required to support specific programs.
	5. Determine growth rates for different types and classes of materials, and for different subject and geographic areas.
	6. Determine optimum distribution of materials among and within the libraries on campus.
	7. Prepare a mechanism for decision-making in the area of collection management, incorporating such considerations as added copies, replacements, storage, preservation, withdrawal and retention of materials.
	8. Determine which materials should be available on the central campus, in Cornell's Annex Library, in other libraries in the region, and in other libraries anywhere in the world.
	9. Examine the problems of resource sharing for the Cornell University Library system and prepare a plan that may best take advantage of Cornell's participation in the Research Library Group.
	10. Design a statistical reporting system and methods for data collection that will accurately reflect growth and costs.
	11. Analyze user needs and user evaluation of collections and access to the collections.
	12. Examine means of bibliographical control other than conventional cataloging methods.

Table I (continued)

Part C - LIBRARY/COLLECTION LEVEL	
SPECIFIC OBJECTIVES IN SUPPORT OF GOALS	1. Design a profile for describing and analyzing the significant components of each of the Cornell library collections. 2. Formulate collection development policy for each Library and designated major Collection as a means of maintaining quality, discriminating between essential "core" materials and specialized materials support specific programs.

VI. DEFINING COLLECTION DEVELOPMENT RESPONSIBILITIES WITHIN THE PLAN FOR COLLECTION DEVELOPMENT

In preparing to analyze and rationalize the Collection Development function the most important element to determine is the library's role and responsibility in acquiring and maintaining information resources, i.e. library materials. In our view the focus and concentration of effort should be on the traditional function of providing the published scholarly record and the published official record. In carrying out this role the library need not limit itself to traditional ways of doing things or restrict its collections to materials in print format. A very important aspect of the library's current responsibilities, however, is the defense of the integrity of its older collections and the continued maintenance of the traditional scholarly record in order that they not deteriorate because of the competing demands and requirements of new programs or the costs of new means of storing and organizing information.

Hendrik Edelman's paper on Selection Methodology provides a helpful categorization of those elements we regard as encompassing the scholarly record and the official record. He identifies the research and general reference collections in academic libraries as being characterized by six components, not mutually exclusive:

"1. The primary data published by governmental, inter-governmental, official and semi-official agencies throughout the world.

2. The major cultural, social and political expressions of world societies of various historical periods.

3. The published outputs of the major academic, scholarly, professional and research groupings in the world.

4. The secondary sources, critical or descriptive in nature, reflecting scholarly as well as popular evaluation over various time periods.

5. A range of introductory materials providing an encyclopedic view of the universe of knowledge.

6. A comprehensive collection of the bibliographic and other reference sources needed to provide access to available materials here and in other collections."[24]

This still represents a vast universe of published documentation that needs further refinement and definition. We are proposing that this be achieved by viewing the responsibility of the library system and its constituent libraries as comprised of a basic element and two related elements:

1. The basic element is to provide books, journals and other standard forms of serial publications (in print or near print format) available through normal channels of publication and distribution plus such forms of documentation as derive from these, such as microforms, to all client groups within the university.
2. A related element is to provide specialized materials required for research or teaching where the procedures and processes for acquiring and processing are already accommodated within existing library operations and which are of interest to a relatively broad sector of client groups, e.g. maps, manuscripts and archival materials, certain categories of loose-leaf services.
3. Another element is the responsibility for specific categories of documentation of primary interest to a single client group based on a.) form or media, such as data tapes, phonodiscs, video tapes, slides; or b.) certain characteristics of documentation, such as report literature, administrative and legal decisions, collective bargaining agreements, company reports; or c.) specialized content either subject or geographical, or d.) any combination of these.

It is assumed this latter element could only be incorporated in the library program under special circumstances and with assurance of special funds. These special circumstances might, for example, apply to a critical information need for a highly specialized collection or resource by a department or college that was determined not to be included within the library's collection development policy. It would then be up to the department or college in conjunction with the library to determine whether the college or department or university administration would fund it. If it were decided to fund it, the choice would then be to fund it through the university library system or choose to use some other means for providing the collection or service. Census data tapes, for example, could presumably be better handled by a computer service center since such computerized data requires manipulation and special programming. Special microform sets, on the other hand, with their own bibliographic apparatus such as the NTIS documents or ERIC documents, might be managed through the library with additional program funding.

The means for further defining and limiting the scope of collection responsibility under all three of these general areas of responsibility will be the development of a Policy Manual for Collection Development.

It is through this device that the variations and differences among the requirements of client groups, in the nature of the literature, and among the characteristics and format mix of the documentation can be identified and described. In his paper on selection methodology Hendrik Edelman emphasized, as he did again in his Interim Report on this project that "a universal or even consolidated selection practice statement is out of the question", and that "each field or type of literature has its own character and the mix of media will be determined by audience needs which in turn differ locally from field to field".[25]

The policy manual, therefore, will be planned as a set of policies for each library and major collection. It will provide an instrument for recognizing differences and responding to the different needs of client groups. Some libraries, notably those in the professional schools, will be supported by program funding at a higher level of collection development and for special information services than others which will rely on the core support of the University Library budget. Essentially we are proposing for the Cornell University Library system through the next decade a plan to control costs by limiting its goals and objectives rather than by ad-hoc program reductions or by trying to apply any kind of budgetary formula. This will be achieved by using the set of policy manuals as an instrument to identify those libraries and collections requiring program support in addition to support for the core research collections and the essential collections in support of teaching and curriculum.

VII. AN ORGANIZATIONAL STRUCTURE FOR THE COLLECTION DEVELOPMENT FUNCTION WITHIN THE CORNELL UNIVERSITY LIBRARY SYSTEM

Because the arrangements that had evolved at Cornell for carrying out the collection development function had some serious limitations, one of the first actions under the Collection Development and Management project was to undertake a provisional reorganization. It was designed to reduce the concentration of responsibility for selection decision-making in the office of the Assistant Director for Collection Development particularly as it related to the central research collections. It was also recognized that the system-wide responsibilities of the Assistant Director needed to be institutionalized and shared by several individuals.*

An experimental framework was established in 1977 by creating in the Olin Library a Collection Development Division for the central research collections. This division incorporated the existing specialist bibliographers for Slavic Studies and for Latin America and established posts for a Western European Studies Librarian, a Social Science Librarian and a Humanities Librarian. For the purposes of coordination on a campus-wide basis, a Social Sciences Committee and a Sciences Committee were continued but with control and influence being exercised by the Assistant Director. While this arrangement permitted the decentralized practices of collection development that have characterized Cornell, it did not provide for the scrutiny and guidance for current decisions, recognize deviations from generally accepted policy, or establish firm financial controls.

Fund allocation decisions for the endowed divisions remained with the office of the Assistant Director for Development of the Collections.

Experience with this structure and with that which prevailed earlier suggested several necessary changes.

The organization of collection development at Cornell has never been approached overall except for some of the early efforts in the 1950s to centralize it administratively.

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*Refer to Section III, Evolution of the Cornell University Library System and the Collection Development Function, p. 18-23.

Reviewing experience and examining the Cornell requirements, several factors had to be considered in structuring a campus-wide collection development system. The first of these was recognition of the fact that a decentralized system was necessary and no amount of tinkering that lay within the power of the library administration was going to modify that condition. Related to this and to a considerable extent responsible for it were problems deriving from the mixture of private and state funding and the different funding authorities through which collection development funds were received. (See Chart III, p. 60)

The other factors that the suggested restructuring is intended to deal with are:

1. The need for an effective fund control for both general non-State appropriated book funds and endowments and other restricted funds, to replace the authority previously exercised by the Assistant Director for Collection Development. This would require a mechanism for monitoring expenditures on a current basis and providing both the control authority and the spending authority with up-to-date information on the status of all funds.
2. The creation of an authority that would set priorities, be responsible for the allocation of all general funds, and review the allocation of all other funds including State funds and funds received through other academic units within the University.
3. The setting as an objective of the reorganization of "the linkage of resource development with resource utilization."[26]
4. The provision of effective coordination among all collections and libraries and the mediation of conflicting interests among client groups.
5. The provision of necessary support services, such as pre-order and other bibliographic searching and the gifts and exchange function.

Chart II shows the proposed structure graphically with four decision levels. The following pages discuss each level beginning with the initial selection or microdecision level. (See Chart II, pages ~~43~~ 27 and ~~44~~ 28)

The primary selection agencies for 1) monographic publications; 2) serial publications; 3) government publications; and 4) microforms would continue to be the constituent libraries and designated special collections of the University library system, with the librarian in charge having the responsibility for collection development within each of these units. This responsibility could be delegated formally or informally.

Because the central research collections of the Olin Research Library represent about 55% of the total book collections of the University library system, the organization of collection development for those collections is a matter of primary concern. In order to provide for the best use of the talents and expertise of the various specialists on the staff of the Olin Library and at the same time carry out the principle of "linking resource development with resource utilization", it is proposed to incorporate existing bibliographic and subject specialists within a Department of Reference and Bibliographic Services that would replace both the present Reference Department and the present Collection Development Division.

Other agencies with initial selection or microdecision responsibilities in the Olin Research Library would be the 1) Wason Collection for East Asian materials, the Echols Collections for South East Asian materials in all languages, and the South Asia Librarian for all areas of the Indian subcontinent; 2) the Rare Books Collection; 3) the History of Science Collection; 4) the Icelandic Collection; and 5) the Manuscripts and Archives Department.

The present division of responsibility between the Department of Rare Books, History of Science Collection, for literary manuscripts and papers and the Department of Manuscripts and Archives, Labor Management Documentation Center, Mann Library, and Law Library for historical and archival papers and records should continue.

Review and coordinating positions need to be established system-wide using existing positions to the greatest extent possible. Three of the four positions being proposed would carry full spending authority for their areas of responsibility within a defined allocation or book fund. They would be:

1. The Resource Development Librarian would carry responsibility for the Central Research Collections. This would encompass all materials being selected for the Olin Library collections and would include full expenditure authority except for Asian Studies and Manuscripts and Archives. This post might be held concurrently with that of the Head of the Department of Reference and Bibliographic Services.
2. The Asian Studies Librarian would coordinate the collection development responsibilities and review expenditures of the Wason and Echols Collections and the South Asia Librarian. Consideration should be given

to the desirability of having this position established as head of a Library of Asian Studies to incorporate the support services now provided by the central technical services departments.

3. The Biological Sciences Librarian would exercise full expenditure authority for book fund expenditures in the fields of the biological sciences and the applied fields in the agricultural sciences and nutritional sciences covered by the Mann Library and the Entomology Library, and review expenditures and coordinate collection development functions in the Veterinary Library and the Geneva Experiment Station Library with the Mann Library and other units of the University Library system.
4. The Physical and Engineering Sciences Librarian would exercise full expenditure authority and review all physical science, engineering and other technological material being selected for the Physical Science and Mathematics Libraries; the Engineering Library; and the Mann Library. This post might be held concurrently with that of Physical Sciences Librarian or of Engineering Librarian.

Because of the extent and variety of the Social Science teaching and research programs at Cornell, the scattering of collections in both large and small libraries across the campus, and the differences in research methodology and in the characteristics of the documentation among different fields of the social sciences, the exercise of a review and coordinating function is being proposed for a Social Science Coordinating Committee. This committee would be chaired by the Resources Development Librarian of the Olin Library. Its members should include the Librarians of Law, Business and Public Administration, Industrial and Labor Relations, a representative of the collection development staff of the Mann Library, a faculty representative from one of the Social Science departments in the College of Arts and Sciences and two faculty representatives selected by the Library Board representing on a rotating basis the professional schools, including the Department of City and Regional Planning and the Department of Education.

Although the major collections of historical manuscripts, private and public collections of papers and documents and archival depositories are located in the Olin Research Library, there are elsewhere other very significant collections of archival records, manuscripts, and other special documentation. The largest of these outside the Olin Library is the Labor Management Documentation Center in the Industrial and Labor Relations Library. Coordination of the collection-building activities among such collections is essential. To carry this out a Coordinating Committee for Historical Papers, Archives and Special Documentation is proposed. It would be chaired by the Assistant University Librarian for Special Collections, and its membership would represent the Department of Manuscripts and Archives; the Industrial and Labor Relations Library; the Asian Studies Library; the Mann Library; the Law Library; and the faculties of History; Architecture, Art and Planning; and Industrial and Labor Relations. Expenditure authority for endowed funds would reside with the Assistant University Librarian for Special Collections and with the Industrial and Labor Relations Librarian for I&LR state funds.

Under the present arrangement for serials control for the central research collections, selections are reviewed by a Serials Committee, but cancellation, initial selection and expenditure decisions affecting other campus libraries flow through the same subject-oriented channels as monograph decisions. The functions of the Serials Committee would be taken over and shared between 1) the Resource Development Librarian who would assume expenditure authority for serials in the central research collections and 2) a serials control center in the central Serials Department. By using the newly created serials data base a sub-system for monitoring and control of new serials, serial changes, and serial terminations would enable a control device to be set up on a campus-wide basis in the central serials department. This system should monitor all changes and provide current reports to those responsible for fund expenditures.

The overall authority responsible for collection development policy, the establishment of priorities, campus-wide coordination, review of macro-decisions and allocation of funds would be a Policy and Allocation Board having the University Librarian as its chairman, with the Assistant University Librarian for Public Services, the Assistant University Librarian for Statutory Libraries and the Director of Administrative Operations serving as members.

To implement the reorganization, several steps are proposed. They are:

1. Create a department of Reference and Bibliographic Services to replace the Reference Department and the Collections Development Division.

This reorganizes the initial selection and collection development responsibilities for the central research collections.

2. Create four positions to exercise expenditure and review authority and coordinating responsibility as part of the collection development function throughout the library system. These would be

    a. Resource Development Librarian with primary responsibility and full expenditure authority for the central research collections and with review responsibility for the Uris and Africana Libraries and for the Music and Fine Arts Libraries;

    b. The Asian Studies Librarian with review and coordinating responsibilities for the Wason Collection, the Echols Collection and the South Asia Librarian;

    c. The Physical Sciences Librarian with primary responsibility and full expenditure authority for the Physical Sciences and Mathematics Libraries and the Engineering Library;

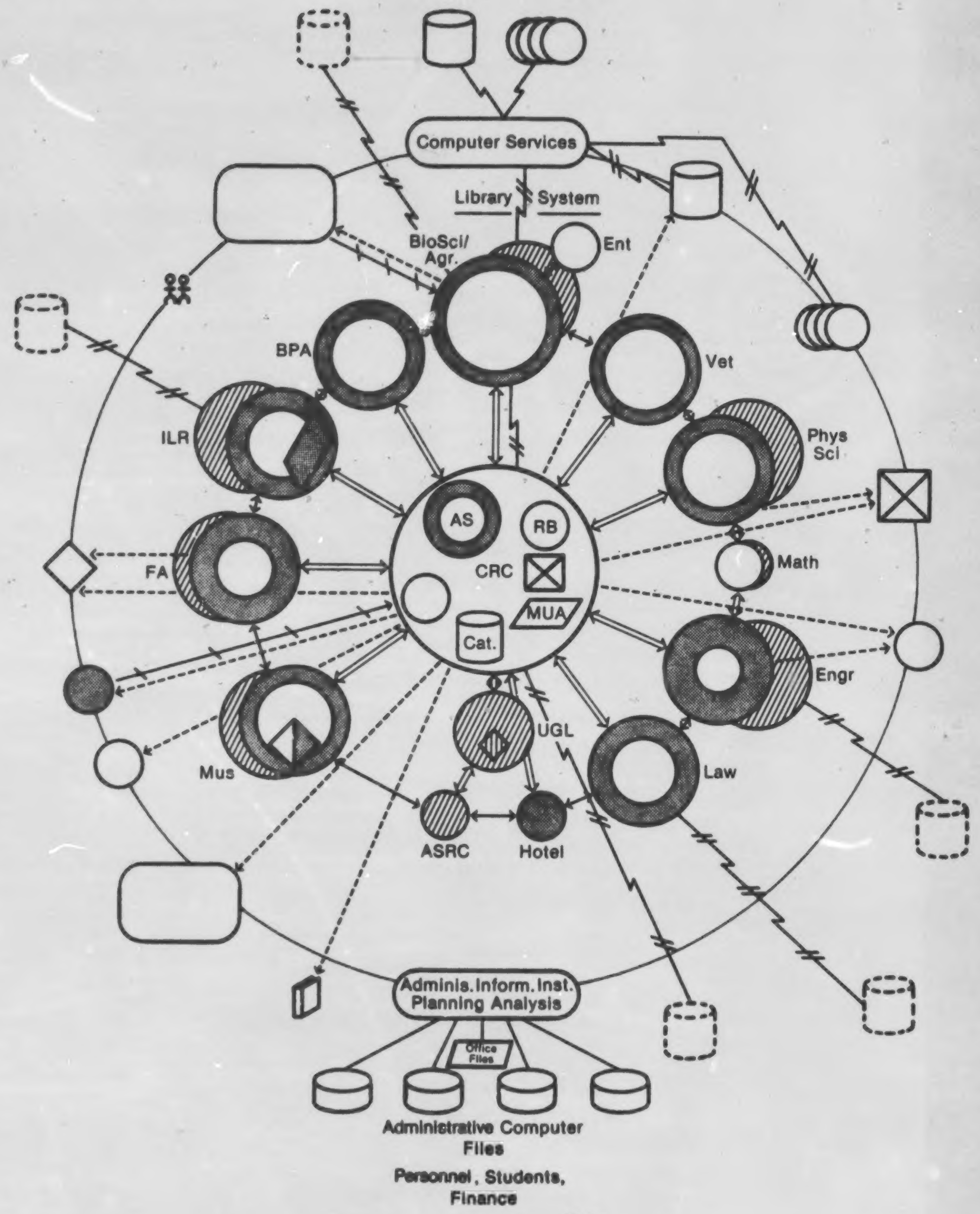
    d. The Biological Sciences Librarian with primary responsibility and full expenditure authority for the biological sciences, agricultural sciences and nutritional sciences collections in the Mann and Entomology Libraries and with review and coordinating responsibilities for the Veterinary Library and the Geneva Experiment Station Library.

3. Establish a Social Sciences Committee chaired by the Resource Development Librarian to review and coordinate the collection development in the social sciences collections throughout the campus.

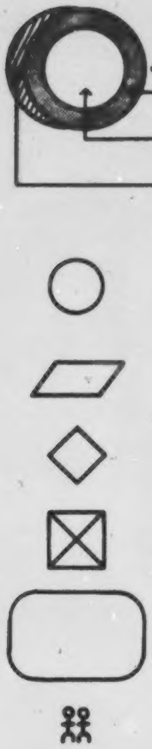
4. Establish a Coordinating Committee for Historical Papers, Archives and Special Documentation to review and coordinate the establishment or acquisition of collections; to formulate policy for collection development of these types of materials and to prepare policy and guidelines for conservation, preservation, withdrawal and storage of these materials.

CHART I

UNIVERSITY INFORMATION RESOURCES NETWORK


Computer Services
Library
System
BioSci/
Agr.
Ent
BPA
Vet
ILR
Phys
Sci
AS
RB
CRC
FA
Math
MUA
Cat.
Engr
UGL
Mus
Law
ASRC
Hotel
Adminis. Inform. Inst.
Planning Analysis
Office
Files
Administrative Computer
Files
Personnel, Students,
Finance

Explanation of Chart Symbols



Major libraries within library system.
Shaded circle = Special program and research collections.
Unshaded circle = Core research collections.
Line circle = Undergraduate instructional collection.

— Other libraries or collections of books and other published documents.

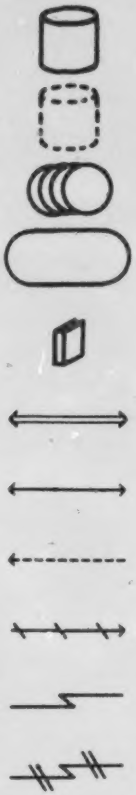
— Manuscripts, archives, office files and records.

— Audio-visual collections incl. slides, audio tapes, discs, motion picture films, video tapes.

— Collections of maps, graphics, photographs, images.

— Museums, art galleries collections of objects.

— Faculty collections of information — books, documents, files, personal knowledge.



— Locally resident data bases.

— External data bases.

— Locally resident computer files.

— Control or coordinating centers for local information networks outside library system.

— Publishing centers.

— Transfer of materials, bibliographical records, information and services.

— Transfer of materials and information.

— Referrals from library system to other network information centers.

— Transfer of bibliographical records to central catalog.

— Electronic communication with service and control.

— Electronic communication.

Abbreviations

CRC — Central Research Collections
  AS — Asian Studies Collections (Wason Collection, Echols Collection, South Asia Collection)
  RB — Rare Book Collections (Rare Books, Hist. of Science, Icelandic)
  MUA — Historical Mss. and University archives
  Cat. — On-line computerized catalog
Bio Sci/Agr. — Biological sciences, agriculture and life sciences.
  Ent. — Entomology
Vet. — Veterinary and Comparative Medicine
Phys Sci — Physical Sciences
Math — Mathematics
Engr. — Engineering
ASRC — Africana Studies and Research Center
Mus — Music
FA — Fine Arts
ILR — Industrial and Labor Relations
BPA — Business and Public Administration

VIII. PLANNING COLLECTION DEVELOPMENT POLICY AT CORNELL

The key element in the plan for collection development at Cornell is the formulation of a set of policy statements to cover specific Libraries or Collections recognizing, as stated earlier in the report, that "a universal or even consolidated selection practice statement is out of the question" and that "each field or type of literature has its own character and the mix of media will be determined by audience needs which in turn differ locally from field to field."[27]

In the Introduction to this report we explained that the project's plan of collection analysis originally intended to break down the Libraries' total resources into what we described as "Collections" but that practical considerations forced us to a coarser and less finely delineated set of libraries and collections.* Nevertheless, the concept of a set of separately defined libraries and collections, each with its own policy statement using a collection profile as a base is still valid and we are proposing to apply it to libraries and collections that constitute administrative or fiscal entities within the University library system. While Mr. Edelman's original intention had been to base the "collection" on an identifiable subject or geographical grouping, the use of the "library" as the unit around which collection development policy would focus retains to a considerable extent a subject or geographical orientation. Furthermore, the "library" at Cornell while not completely homogeneous will have the "distinct and definable characteristics" referred to by Mr. Edelman.[28]

The importance of policy statements for collection development is admirably expressed in general terms in the "Guidelines for the Formulation of Collection Development Policies" prepared by the Collection Development Committee of the ALA Resources and Technical Services Division.[29] Such statements would become crucial if the plan being proposed in this report were to be adopted. Central to the plan, of course, is the notion of a core or base collection capable of supporting the central and primary research and teaching programs with a layer or layers of highly specialized material meeting the needs either of existing special programs or of new programs that will add new information requirements to the library system. If there is any validity to this concept and if it is to be implemented in any practical way, it becomes necessary to distinguish between what can be considered as the essential core of the collection and the specialized information resources that are required for special needs. It is unlikely that any general statement of distinguishing criteria could be used operationally. Therefore the specific policy statements and collection profiles become the device for describing the core or base for each library or major collection and for identifying the layers of specialized information resources that are being or should be developed as part of that library's collection.

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*See Introduction, p. 2.

If the proposals for planning that we are making were to be adopted they would require a procedure for preparing a set of policy manuals incorporating library or collection profiles, and statements of collecting policy for each unit that has responsibility either for initial selection or broader collection development. These would serve as policy guides for selectors, for those having expenditure authority, and for those having review and coordinating responsibility. They would serve also to provide the background information necessary to establish guidelines for the allocating authority in making book fund allocations or in approaching other academic units for needed support of special information resources.

The Library or Collection profile would result from a collection analysis process providing the information and data needed for formulating collection policy. During the first stage of the project a major effort was made to assemble information and data on which policy statements could be based. This effort is briefly described in the Interim Report.[30] The data resides on cards of a standard form adopted from that used in the Collection Analysis Project at the University of California at Berkeley. Based on LC segments, they describe current levels of collecting intensity, types of materials collected, and languages of acquisitions for some 975 sub-classes within about half of the Cornell Libraries and Collections. This activity could not be continued when it was agreed to curtail the project. The data assembled is supplemented by taped interviews by the surveyor with several bibliographers and selectors. This work should be completed if it is decided to prepare formal policy statements for the several libraries and collections.

The policy statements themselves can be prepared using the ALA guidelines.[31] Some of the elements mentioned in them by the ALA Collection Development Committee are covered in the outline of the Library/Collection Profile. Many helpful comments and suggestions which would be useful in formulating and writing policy statements are contained in a paper by Charles B. Osburn delivered at the Pre-Conference Institute of Collection Development in 1977.[32]

The Manual prepared by the Association of Research Libraries for the review and analysis of the collection development functions in academic and research libraries provides a great many ideas and information useful in preparing staff for the task of policy development as well as other procedural prescriptions on analyzing the collections and the collection development function.[33] These can be applied in the course of reviewing this report and determining how it may be used or revised.

There are other reports and articles in the recent literature addressing themselves to the problems of formulating policy and preparing understandable policy statements that may well be applied under operating conditions.

The preparation of the set of policy manuals will require intensive and prolonged staff participation. If it is decided to establish a Policy and Allocation Board the staff effort should be organized and directed by the Board. Presumably the individual policy statements and collection profiles will be largely the responsibility of the person having initial selection responsibility assisted by the reviewing officer in the general subject area.

It will doubtless be advisable to involve the faculty in the preparation of most of the policy statements, but how they will participate and the extent of their influence in determining collection development policy for each Library or Collection will presumably vary from library to library and collection to collection. Therefore specific arrangements for staff and faculty participation are not being suggested in this report.

The first phase of policy planning should be to review the section on "Resources" that is contained in the Mission Statement suggested as the basis for the proposed plan.* This has been presented like the rest of the proposals in the report for examination and review by Library administration and staff in order that it may be revised and refined by those who will have the responsibility for the quality and usefulness of Cornell's library resources in the future.

*Section II, p. 15.

Once the Mission Statement for resources has been agreed upon, a general statement of policy that would apply throughout the university library system could be compiled. This would provide the framework and define whatever general priorities were needed to guide those who would prepare the Library and Collection policy statements. An outline for a general statement is suggested in Table II.

The actual content of the collections can be dealt with through the collection development policy statements that would be a part of each one of the set of collection development manuals. Presumably these would be compiled concurrently according to a uniform outline. A suggested check list for such a set would be:

A. Central Research Collections - General

1. Reference and Bibliography
2. Humanities
3. Social Sciences
4. Sciences
5. Multi-disciplinary/Multi-subject

B. Central Research Collections - Special

6. Wason Collection (China-Japan and other East Asia)
7. John M. Echols Collection of Southeast Asia
8. South Asia
9. Latin America
10. Slavic Studies
11. Rare Books Collection
12. History of Science Collection
13. Icelandic Collection
14. Newspapers
15. Maps

C. Uris Library

16. Undergraduate Collections

D. Mann Library

17. Biological Sciences
18. Agricultural Sciences
19. Nutritional Sciences
20. Entomology
21. Social Sciences (Education; Agricultural Economics, Rural Sociology; Child Development, Family Psychology)
22. Physical Sciences (Meteorology, Engineering)

E. Fine Arts Library

23. Architecture
24. Fine Arts/History of Art
25. Social Sciences - Planning - Urban and Regional Development

F. Other Campus Libraries

26. Veterinary and Comparative Medicine
27. Physical Sciences/Mathematics
28. Engineering
29. Law
30. Industrial and Labor Relations
31. Africana Studies and Research Center
32. Music
33. Business and Public Administration
34. Hotel Administration

Table II

OUTLINE FOR GENERAL STATEMENT OF UNIVERSITY-WIDE POLICY ON LIBRARY COLLECTIONS

I. General Framework or Background.

- A. Summary of 1966 acquisitions policy
- B. Mission Statement - Resources
- C. Relationship to RLG - "Coordinated Collection Development Policy Statement".
- D. Resource Sharing Statement
- E. University-wide responsibilities of University library system as a whole.
- F. University-wide and local responsibilities of college, school and department libraries.

II. General Policies for processes extending throughout the University Library system.

- A. Duplication of serials among Libraries or Collections within the Library system.*
- B. Cancellations of serials
- C. Duplication of monographs among Libraries of Collections within the Library system.*
- D. Replacements
- E. Gifts
- F. Exchanges
- G. Standing Orders; Blanket Orders; Approval Plans
- H. Retrospective purchases
- I. Withdrawal or transfers between Libraries and Collections.**
- J. Reserve book collections and other special purpose collections.

III. General Policies on various Forms of Materials.

- A. Serial Publications
- B. Official Documents and Publications - U.S.; State; International (intergovernmental agencies, e.g. UN, Common Market, etc.); and foreign governments.
- C. Microform sets (not classifiable by subject or area).
- D. Media (films; video, audio; graphics; computer tapes)
- E. Manuscripts, archives, and other non-published paper records. (Historical/Literary/Social etc.)

IV. General Statement on University-wide Collection Priorities.

*Decisions with respect to duplication within the library system are regarded as an aspect of the collection development function and should be made at the expenditure authorization and coordination level. Duplication of materials

Table II continued

within Collections or Libraries can be regarded as part of the collection management responsibilities of the Librarian in charge.

**Transfers to storage would be regarded as collection management decisions carried out by the Library or Collection Librarian.

A suggested outline for the Library or Collection profile is set out in Table III. This would be the primary tool for collection analysis. It has been employed to obtain a description of the Music Library and appears to be usable. The example of its use in the Music Library is in Appendix IV of the Report.

Table III

OUTLINE FOR
LIBRARY/COLLECTION PROFILE

A. GENERAL DESCRIPTION

1. Statement of Goal or Mission or Objective of the Collection or Library.

2. Identification of collection - Descriptive term for collection; LC class numbers; Classification using A Classification of Educational Subject Matter developed for the National Center for Education Statistics, U.S. Office of Education.

3. Description of collection - General in terms of subject matter

   .01 Character of the collection: - Collection of record; research support; support of instruction.

   .02 Location by library.

4. Organization of collection

B. HISTORY OF COLLECTION -- Recent past experience - Trends in collection growth and other changes in the Collection (1970-1980) e.g. changes in composition or emphasis. Emphasis on stages of development; special features of collection.

C. EVALUATION

1. User Needs -- Extract data from User Survey. Other indicators. Reference: Survey of Users of the Research Collection of the University Libraries. Draft Report. June 1980.

2. Collection Level -- Current status; Research level support - Inadequate, Seriously Inadequate, Adequate, Better than Adequate, Much Better.
Reference: Collection Analysis Project, Summer 1977. Survey card file.

Table III continued

3. Interlibrary Loans -- use of other collections outside Cornell.

D. ENVIRONMENT

1. Total constituency of potential users --Describe or tabulate.

2. Academic programs supported directly by collection.

   .01 Description including departments, colleges or other organizational units;

   .02 Ratings of academic programs -
      .001 By outside agencies - Accreditation teams;
      National groups for graduate education;
      National or Regional Professional groups; State agencies.

      .002 Internal agencies - (Cornell).

   .03 Data on academic activity

   Indicators -- Full time faculty; graduate enrollment; Master's degrees granted; Doctoral degrees granted; Research expenditures. Reference: Interim Report. Dec. 1979. Table 8, p. 28.

   Other data -- Number of courses offered;
   Number of undergraduates enrolled;
   Number of undergraduate majors;
   Faculty publications;
   Other.

3. Other programs or activity supported directly by the collection -- Description.

4. Trends in program growth or other changes in academic programs served by Collection (1970-1980) e.g. changes in content or emphasis, new programs.

5. Programs or activities peripherally supported by the collection.

6. Outside use.

E. FEATURES OF THE COLLECTION

1. Size and Growth.

2. Types of Materials -- Serials, Monographs, Government Publications.

3. Characteristics of Documentation -- Describe the "mix" of documentation: Formats; changes or trends in characteristics and forecasts.
   Reference: Data Sheet: Collection Size, Growth and Characteristics

Table III continued

F. PROCESSES

1. Selection process for the collection -- Describe; explain unique features; explain decision making.

2. Gifts and Exchange as a means of collection building.

3. Acquisition

    .01 Special acquisition problems characteristic of the collection.

        .001 Consequences of problems;

        .002 Solutions or changes in practices or procedures.

4. Retention, withdrawal and storage -- How extensive? Does standard procedure exist?

5. Maintaining quality of the collection -- How monitored?

6. Bibliographic control -- Describe major problems; unique features of bibliographical access; trends promoting potential for resource sharing.

G. COST AND EXPENDITURES

1. Elements of cost, unique factors of expense.

2. Analysis of trends and forecasts of future trends.

3. Proposals for control of increasing costs and cost reduction.

4. Sources of support
   Reference: Data Sheet: Collection Size, Growth and Characteristics.

Supplementing the outline for the library profile, Figure I gives an example of a data sheet for the compilation of data relative to the Library/ Collection. A completed form for the Music Library is included as part of Appendix V, Collection Profile for the Music Library.

FIGURE I

Data Sheets: Collection Size, Growth, and Characteristics
Library/Collection Profile
(Suggested Examples)

Contents:

- Data Sheet #1 -- Classified Collection
- Data Sheet #2 -- Serials Data (Detail)
- Data Sheet #3 -- Unclassified Collection (Hard Copy Pamphlets, Books, and Other Documents)
- Data Sheet #4 -- Microforms
- Data Sheet #5 -- Sound/Video Recordings
- Data Sheet #6 -- A/V Materials: Motion Picture Films, Sound Slides, Film Strips, Slides (examples not included)
- Data Sheet #7 -- Photographs, Prints, Graphs (examples not included)
- Data Sheet #8 -- Computer Files (example not included)

Data Sheet #1 -- Classified Collection

Collection Identifier: ____________

Content (LC Classes): ____________

	Monographs*			Standing Orders and Monographs in Series*			Serials*						Total Classified Collection		
Time Period	Titles	Volumes	Expend.	Titles	Volumes	Expend.	All Serial Titles	Current Titles	Volumes/ Volume Equiv.	Current Subsc.	Current Subsc. Expend.	Total Expend.	Titles	Volumes/ Volume Equiv.	Expend.
Base Period 19 __															
Year: _____ Additions															
Withdrawals															
Storage															
Other Transfers															
Net Change															
Total Holdings															
(Repeat)															

*Excludes microtexts

Data Sheet #2 -- Serials Data (Detail)

Collection Identifier: ____________

Content (LC Classes): ____________

Time Period	Current Subscriptions								Current Serial Receipts		Retrospective Serial Acquisitions		Total Serials Expenditures
	Periodicals		Other Serials		Newspapers		Total Subscriptions						
	No. of Subsc.	Expend.	No. of Subsc.	Expend.	No. of Subsc.	Expend.	Number	Expend.	Titles	Volumes/ Vol. Equiv.	Volumes/ Vol. Equiv.	Expend.	
Base Period 19__													
Year: ____ Additions													
Withdrawals/ Cancellations													
Storage													
Other Transfers													
Net Change													
Total Holdings													
(Repeat)													

Data Sheet #3 -- Unclassified Collection

(Hard Copy Pamphlets, Books and Other Print and Near-Print Documents and Manuscripts and Archival Materials)

Collection Identifier: ______________

Time Period	Unclassified Print or Near-Print Documents; Official Unclassified Documents				Total	Maps			Manuscripts & Archives	
	U.S. Items/Exp.	Foreign Items/Exp.	Organiz'tns Items/Exp.	Pamphlets & Other Unclass. Docs. Items/Exp.	Total Items/Exp.	Sheets	Subscrip.	Expenditures	Linear Feet	Expenditures
Base Period 19__										
Year: ____ Additions										
Withdrawals/ Cancellations										
Storage										
Other Transfers										
Net Change										
Total Holdings										
(Repeat)										

Data Sheet #4 — Microforms

Collection Identifier: ________

Time Period	Fiches	Microfilm Rolls	Microprint	Total Microform Units	Number of Microtext Subscriptions	Subscription Expenditures	Non-Subscription Microform Expenditures	Total Microform Expenditure
Base Period 19__								
Year: ____ Additions								
Withdrawals/ Cancellations								
Storage								
Other Transfers								
Net Change								
Total Holdings								
(Repeat)								

Data Sheet #5 -- Sound/Video Recordings

Collection Identifier: ________

Time Period	Sound Recordings				Video Recordings				Unclassified Sheet Music, Scores, Libretto Pieces	Total Expenditures
	Phonodiscs Music/Spoken	Tapes Music/Spoken	Cassettes Music/Spoken	Expenditures	Video Tapes	Video Cassettes	Video Discs	Expenditures		
Base Period 19__										
Year: ____ Addition										
Withdrawals/ Cancellations										
Storage										
Other Transfers										
Net Change										
Total Holdings										
(Repeat)										

IX. ADMINISTRATIVE AND BUDGETARY ASPECTS OF THE PLAN

No matter how the library programs of the Cornell University Libraries are constructed or their mission described, they have been and will continue to be a decentralized system albeit with a central administration. The rapid developments in computerization will tend to support functional decentralization and will offset some of the disadvantages that advocates of greater centralization have pointed to in the past. The recognition that the different constituencies of the Libraries have different needs and that the ways in which information is handled, stored and made accessible are multiplying makes decentralization a practical response to evolving conditions.

At the same time it should be recognized that there have been some fundamental weaknesses in the ways large universities and their constituent academic units and faculties have related to their libraries. The notion--fostered indeed by library administrators and other librarians--that the information resources for scholarship and teaching in major research universities were or could be centralized in the university library enabled both university administrators and schools to put off on the library administrators much of the responsibility for providing and allocating funds to support specific program information needs that were properly the business either of the university's academic administration or of the college or other academic unit supporting or initiating such programs. In the first place the university library administration did not usually have the degree of authority to make the allocations effectively nor were sufficient additional funds forthcoming. As a result choices were frequently forced and the pool of funds available for the basic collections of the university library diminished, because the library administration was not in a position to reduce allocations already committed to other special interest groups.

A. The Budget Process

The notion of a totally centralized budget implying central control by the university library administration is not realistic. There is a need to fix responsibility either with the university administration itself or with the unit or clientele that has special needs and is prepared to acknowledge those needs by paying for them. Information needs of particular academic programs or activities should be determined and their costs assessed. The expectations by university administrations that the university library system can somehow or other absorb these costs has caused much of the budgetary disarray that university libraries now find themselves in. It is true in many cases--but not in all--that the university library system may be the best mechanism for meeting highly specialized information or documentation needs, but those needs must be funded otherwise than through the library's basic budget.

Obviously, the university library must be able to control a major part of its budget in order to protect its primary responsibility for the maintenance of the scholarly record irrespective of demand factors, user behavior or the pressure of specialized client groups. It is not being suggested that a research library can revert to the archaic pattern of departmental book funds being spent for specific books and journals ordered by individual professors. The mechanism suggested here is to provide a library budget for collection development adequate to fund the maintenance and normal growth of the collections comprising the basic scholarly and official records. The special documentation and information requirements of departments and other academic units that have increased dramatically since World War II, and those of new programs should be formulated and then funded as an additional element in the library budget by the users or as a separate information resource or documentation center. This would be funding for special purposes based on actual cost in addition to the normal level of library collection development. In some respects the funding would be comparable to restricted income from endowments for special purposes except it would be flexible in that it could be discontinued or changed to other purposes within the library system or outside.

In many ways there are analogies between the provision of library resources and computer services. Both are dealing with information, a commodity somewhat difficult to define. Taking a leaf, therefore, from some of the schemes by which universities are funding their computer centers, some decentralization of the funding of library resources will both protect the core of the library's budget and put the responsibility for some of the highly specialized information resources in the departments or colleges with the special and particular information requirements, where it belongs. One of the most important differences between the centralized and decentralized approaches is the replacement of a negotiation process between the library administration and a department, or special clientele--in which politically the library administration is frequently at a disadvantage--by a sort of market mechanism which establishes the allocation implicitly through the decisions of individual user groups.[34]

Chart III shows how the budget allocation process would work. To implement the plan being proposed, allocation would be at two levels. The first level would be the allocation of the University library budget in support of the core collections as determined by the policies outlined in the policy manuals and the library and collection profiles using the guidelines and standards for allocation of book funds. The second level would be a charge-out system that would enable "responsibility centers" within the University to determine what information resources were needed for their specific purposes to supplement the "core" library and information resources provided through the library system budget. A charge-out system would include a budgeting process for the allocation of resources from the "Responsibility Centers" to the University library system or to one of the units of the library system, and a pricing scheme to measure output and provide a basis for control of users' consumption (i.e. acquisition) of library and information materials and associated services.

The second level of the budget allocation process on both the endowed side and the State side would enable academic units designated as "responsibility centers" under the University's accounting system to choose what additional resources and services were required to meet their library and information needs and to what extent they were prepared to fund them. At the same time there could be other alternatives that these users of information could choose in determining where they spent funds for information resources and services. For example, in consultation with the Library administration it might be determined that storage, processing and manipulation of a set of computer data tapes could best be handled outside the Library system, or a department recognizing that the library system was not going to fund an expensive set of microform documents of interest to a limited client group within the department could decide to allocate department funds on a total cost* basis to the library system for that specific purpose.

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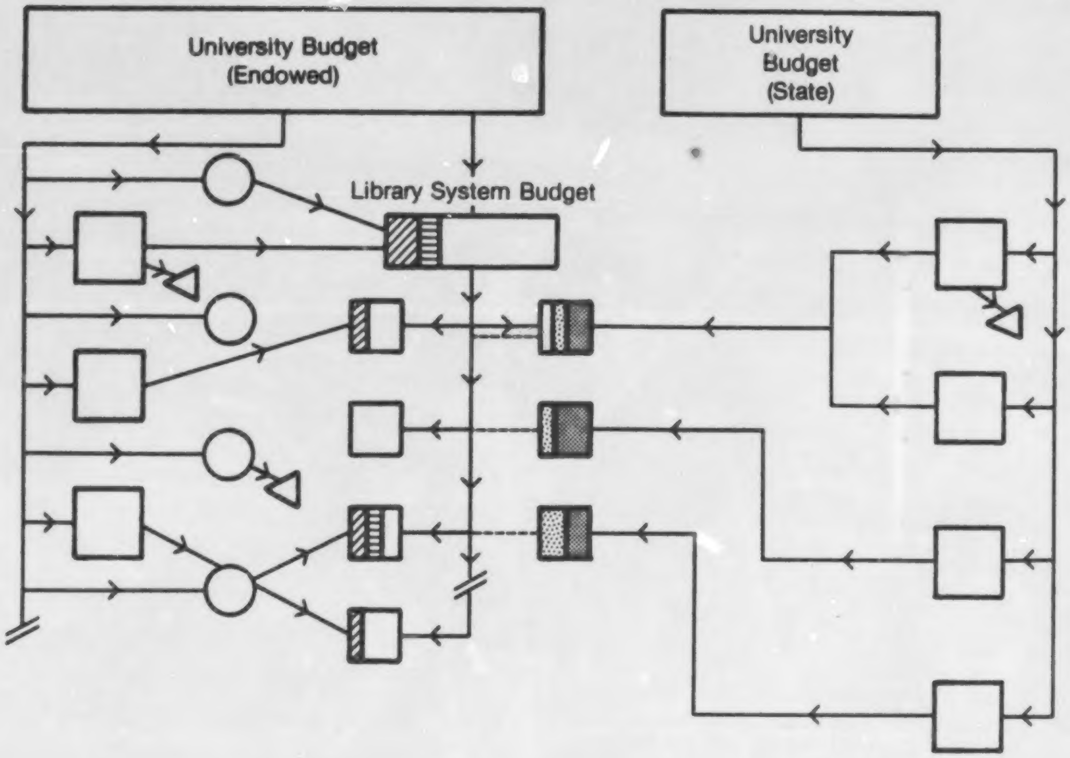
*"Total cost" is intended to mean the cost of the material as publication itself, plus library processing costs plus, in the case of microforms, a share of equipment costs, or in the case of a large collection or set a share of storage costs over a fixed period of years.

CHART III

Simplified Representation of a Partially Decentralized Budgeting Process for Libraries



Explanations of Chart Symbols

	A. Composition of Library Funds
□	—Unrestricted General Appropriation (Endowed)
▨	—Allocated special program funds (Endowed)
▤	—Restricted Funds or Endowments for Library Purposes only. (Endowed)
▩	—State Funds
░	—State College Funds

	B. Budgets/Expense Centers
▭	—Library System Budget
□	—Expense Centers in Library System. (Inc. individual libraries)
□	—College Budgets or budgets of other major academic units
○	—Budgets of Research centers, institutes, etc.
◁	—Information resource centers not part of library system
←—←—	—Flow of funds
----------	—Budget review responsibility without control

B. Accounting and Fund Control

Because of the nature of the Cornell accounting system, fund control cannot be exercised at a single point. For many reasons, not the least of which has been the reluctance to move on the computerized sub-systems for acquisitions and accounting before the major systems decision was made with respect to the RLG/RLIN participation, the need for an up-to-date computerized acquisitions system with fund accounting capability built in is urgent and should be given the highest priority in the context of the decision to move with RLIN. It is essential to the recommended decentralized structure that adequate fund control for both endowed and state funds be installed so that all units with expenditure authority have current reports available and the control authority be placed in a position to monitor commitments and expenditures on a truly up-to-date basis.

The fund-control mechanism that is being suggested for the endowed book funds is that already in place in the Library Budget and Accounting Office. Screening of commitments would take place in the Acquisitions Department with necessary alert warnings going to the Book Fund Accounting Office. The immediate need is for the design of an acquisition and book fund accounting system that will enable the fund control mechanism to function effectively. Four basic requirements are:

1) Improved accounting methods for endowments and other restricted book fund accounts segregating them from general appropriated funds but enabling necessary aggregates to be compiled.
2) Improved devices for monitoring commitments and encumbrances.
3) Revision of breakdown of accounts to correspond with initial selection authorities with consideration of further breakdowns by LC class.
4) Improved accounting for serials, memberships and other continuing obligations.

It is impractical to suggest at this stage the centralization of fund control and book fund accounting for both state and endowed funds. Book fund accounting practices for all State supported libraries should be made uniform. Should the decision be made to adopt the RLIN acquisitions and accounting module at Cornell with whatever modifications were necessary it should be applied separately but as uniformly as possible to both State and endowed acquisitions and book fund accounting systems.

Although somewhat beyond the scope of this report, the acquisitions and serials control processes are so closely linked in support of the collection development function that it is reasonable to consider them in relation to the processes being proposed. At the same time, almost any recommendation carries with it many implications reaching beyond the collection development function.

By using the new serials data base the bibliographical features of the serials control function could be centralized campus-wide in the central serials department. The ordering and financial records would necessarily be decentralized to fit the present division between endowed and State-supported libraries and the Law Library and Hotel Library. The need for a serials accounting system is as urgent as for an acquisitions system and both should be integrated so that the reports of all types of book fund expenditures can be consistent and compatible regardless of funding source.

Since both the Acquisitions and the Serials Departments play key roles in the fund control and serials control points, the processes currently carried out by the Acquisitions Department and the Serials Department should be studied to determine whether some are, in fact, business-type activities that might be better structured some other way, such as an order section in a Business Operations Department. The bibliographical work which is of a different order might be organized differently.

C. Allocation of Book Funds and Distribution of Book Fund Expenditures 1971/72 - 1978/79

In common with many other large libraries the allocation of funds for collection development at Cornell has not been undertaken systematically. It has been largely based on a traditional pattern of experience modified by informed judgment. In spite of the sense among some client groups in the physical sciences and technologies and particularly the engineering sciences that those areas were not receiving an appropriate share of the funds available, the admittedly primitive allocation process seems to have been responsive to change and has not tied book fund allocations to a rigid pattern. A review of expenditures for library materials from 1971/72 to 1978/79 shown in Tables IV and V (see pages 65 and 66) demonstrates that major shifts in expenditure patterns took place.

Contrary to the impressions of client groups in the engineering sciences the engineering collections in the Engineering Library were accounting for over seven percent of the total book fund expenditures for the entire system in 1978/79 as compared with a 4.3% share in 1971/72. This resulted from an increase in engineering collection expenditures of close to 200%, contrasted with an average increase for the system as a whole of 88.6% for the same time period. The three physical science and technology libraries, physical sciences, mathematics and engineering, together increased their share of total expenditures from about 10% in 1971/72 to more than 15% in 1978/79. The percentage increase in expenditures for the physical sciences collections during that period was 147.3%, and of the Math Library 254.2%.

This reflected a major sustained attempt to meet the rapidly increasing cost of scientific and technological literature and to modify the effect of these increases on the book funds. A very substantial portion of the increases in the physical sciences and engineering expenditures was a response to the extremely high proportion of serial costs for these libraries. Table IV indicates that in 1971/72 serials were already consuming 86.8% of the Engineering Library book funds and about the same proportion for physical sciences and mathematics. The effort to maintain a balance and continue a reasonable acquisition rate for monographic literature was reasonably successful in engineering and mathematics where a large infusion of funds brought the expenditure ratio for serials down from 86.8% to 63.1% in engineering and from 79.1% to 74.9% in mathematics. In the Physical Sciences Library, however, the pressure for serial publications and their cost increased the serials expenditures to the point where they amounted to over 90% of total book fund expenditures in the physical sciences in 1978/79.

After the physical science collection those most seriously affected by the serials problem were the biological and agricultural sciences collections. Here expenditures for monographs increased 35.7% over the eight years as contrasted with an increase of over 150% for serials. In veterinary and comparative medicine there was actually a slight decline in the amount spent on monographs while serial expenditures were up 133.5%.

An immediate consequence of these efforts to meet the pressures and needs of the physical sciences and engineering collections was a reduction for the central research and the general undergraduate collections, the fine arts, architecture, and law collections. While the data and the accounting methods employed at the present time do not permit the analysis that would determine the specific subject matters or disciplines most affected, some conclusions can readily be drawn. The humanities, including fine arts and architecture; the basic social sciences, including the area collections represented in the central research collections; and the general undergraduate collections show a declining rate of expenditure relative to expenditures for the system as a whole. The law collections, in spite of substantial contributions of book funds from the Law School on a fairly regular basis, have also lost ground. The biological sciences, agriculture and social sciences related to agriculture and human ecology have gained slightly with a rate of expenditure increase somewhat above the percentage increase of the system as a whole. The specialized collections in the social sciences with primary client groups in business and public administration and industrial and labor relations have been supported with increased rates of expenditures substantially above the rate for the total system. Although expenditures for urban and regional planning cannot be broken out of the fine arts and architecture accounts, it is safe to assume that its share of the total has sharply declined along with the fine arts and architecture collections.

The music collection's increasing share of collection development funds, in comparison with other humanities collections, can be attributed to the necessity of improving a collecting effort which had faltered in the preceding few years and to the need for supporting an increasingly strong curricular and research program that began in the early 1960s.

It is important to note that the proportion of total library expenditures for acquisitions and collection development increased sharply during the 1971/72 to 1978/79 period while the salaries and wages (exclusive of fringe benefits)* portion declined. In 1971/72 salaries and wages systemwide accounted for 64.4% of the total. By 1978/79 they had dropped to 57.4% At the same time expenditures for all library materials had increased from 23.5% to 29.7% of the total expenditures. It is clear that not all of this change was the result of the reduced ratio of the salary and wage bill. There appears additionally to be an actual reduction in expenditures for binding and conservation, although the data for binding is somewhat unreliable for a variety of reasons. At the same time, expenditures in the General Expense category, including computer services, increased proportionately from 7.2% to over 10%.

The conclusion from all this is that the cost of library materials increased even faster than salaries. Whether the changes reported reflect increased productivity or simply a reduced volume of material received or other factors that have enabled the ratio of expenditures for salaries and wages to be reduced is not demonstrable without further analysis of prices and volume of material acquired. These data, which have not been fully analyzed, are essential to the development of the plan for fund allocation. The expenditure data at least make it very emphatic that the library administration has concentrated an increasing share of scarce resources into funding acquisitions and collection development. However, it is proposed as part of planning for collection management that the erosion suffered by the binding and conservation funds be remedied in the allocation process since it is fully as important to preserve the collections we have as to acquire the new material.

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*Fringe benefits cannot be calculated into these percentages because the accounting system changed and because of the completely different methods of recording them between the endowed and State divisions of the University.

Table IV

Expenditures for Books and Library Materials by Library for 1971/72 and 1978/79 Showing Percentage of Total System Expenditures

Libraries	1971/72	%	1978/79	%	Change + or -
Olin, including Area Collections	$ 707,927	53.4	$1,209,022	48.3	-
Uris	36,345	2.7	62,320	2.5	-
Fine Arts	45,554	3.5	61,089	2.4	-
Music	19,639	1.5	41,516	1.7	+
Engineering	59,938	4.5	174,832	7.0	+
Physical Sciences	68,230	5.1	168,710	6.7	+
Mathematics	9,662	.7	34,220	1.4	+
Mann	129,607	9.8	267,927	10.7	+
Veterinary	26,140	2.0	52,169	2.1	+
B&PA	34,117	2.8	78,500	3.1	+
I&LR	36,167	2.7	97,815	3.9	+
Law	141,906	10.7	231,666	9.3	-
Hotel	7,218	.6	22,251	.9	-
Total	$1,326,561	100.0	$2,502,037	100.0	

Table V
Increases in Expenditures for Library Materials by Library
1971/72--1978/79

	1971/72			1978/79			1971/72--1978/79						
	Expenditures			Expenditures			Amount of Increase			Percentage of Increase			% of Total System Increase (%)
	Monographs ($)	Serials ($)	Total ($)	Monographs ($)	Serials ($)	Total ($)	Monographs ($)	Serials ($)	Total ($)	Monogr. (%)	Serials (%)	Total (%)	
Central Research Coll. incl. Asian Studies Coll.	481,193	226,734	707,927	775,145	433,277	1,209,022	293,952	207,143	501,095	61	91.4	70.8	42.6
% of Total	*68%*	*32%*	*100%*	*64%*	*36%*	*100%*	*58%*	*41.3%*	*100%*				
Undergraduate Coll.	28,844	7,501	36,345	50,370	19,950	62,320	21,526	4,449	25,975	74.1	59.3	71.5	2.2
% of Total	*79%*	*21%*	*100%*	*81%*	*19%*	*100%*	*82.9%*	*17.1%*	*100%*				
Fine Arts	33,644	13,021	46,665	35,309	25,780	61,089	1,665	12,759	14,424	5	98	30.9	1.2
% of Total	*72.1%*	*27.9%*	*100%*	*57.8%*	*42.2%*	*100%*	*11.5%*	*88.5%*	*100%*				
Music	15,017	4,622	19,639	25,114	16,402	41,516	10,097	11,780	21,877	67.2	254.9	111.4	1.9
% of Total	*76.5%*	*23.5%*	*100%*	*60.5%*	*39.5%*	*100%*	*46.2%*	*53.8%*	*100%*				
Engineering	7,872	52,066	59,938	64,540	110,292	174,832	56,668	58,226	114,894	719.9	111.8	191.7	9.8
% of Total	*13.2%*	*86.8%*	*100%*	*36.9%*	*63.1%*	*100%*	*49.3%*	*50.7%*	*100%*				
Physical Sciences	9,463	58,767	68,230	15,952	152,758	168,910	6,489	93,991	100,480	68.6	159.9	147.3	8.6
% of Total	*13.8%*	*86.2%*	*100%*	*9.5%*	*90.5%*	*100%*	*6.4%*	*93.6%*	*100%*				
Mathematics	2,024	7,638	9,662	8,581	25,639	34,220	6,557	18,001	24,558	324	235.7	254.2	2.1
% of Total	*20.9%*	*79.1%*	*100%*	*25.1%*	*79.9%*	*100%*	*26.7%*	*73.3%*	*100%*				
Biol., Sci., Agricult., & Human Ecol.	54,239	75,368	129,607	75,669	192,258	267,927	21,430	116,890	136,320	39.5	155.1	106.7	11.8
% of Total	*41.8%*	*58.2%*	*100%*	*28.2%*	*71.8%*	*100%*	*15.5%*	*84.5%*	*100%*				
Vet. & Comp. Medicine	6,638	19,502	26,140	6,575	45,594	52,169	-63	26,092	26,029	.9	133.8	99.6	2.2
% of Total	*25.4%*	*74.6%*	*100%*	*12.6%*	*87.9%*	*100%*	*-.2%*	*100.2%*	*100%*				
Bus. & Public Admin.	8,881	28,236	37,117	37,694	40,806	78,500	28,813	12,570	41.383	324.4	44.5	111.5	3.5
% of Total	*23.9%*	*76.1%*	*100%*	*48%*	*52%*	*100%*	*69.6%*	*30.4%*	*100%*				
Indust'l & Labor Rel.	12,919	23,248	36,167	34,710	63,105	97,815	21,791	39,857	61,648	168.7	171.4	170.5	5.2
% of Total	*35.7%*	*64.3%*	*100%*	*35.5%*	*64.5%*	*100%*	*35.3%*	*64.7%*	*100%*				
Law	9,000	132,900	141,906	34,439	197,227	231,666	25,439	64,321	89,760	282.7	48.4	63.8	7.6
% of Total	*63%*	*93.7%*	*100%*	*14.9%*	*85.1%*	*100%*	*28.3%*	*71.7%*	*100%*				
Hotel	NA	NA	7,218	14,524	7,727	22,251	NA	NA	15,033	NA	NA	208.3	1.3
% of Total	--	--	--	*65.3%*	*34.7%*	*100%*	--	--	--				
Total	676,952	649,609	1,326,561	1,178,622	1,323,415	2,502,037	501,670	673,806	1,175,476	74.1	103.7	88.6	100%
% of Total	*51%*	*49%*	*100%*	*47.1%*	*52.9%*	*100%*	*42.7%*	*57.3%*	*100%*				

D. Planning for Change in the Allocation Process

The experience during the past eight years, reflected in the expenditure data in Tables IV and V, demonstrates that Cornell has been responsive to changing needs and has tried to adapt to the pressures of client groups as well as to the pressures of costs and the surge of new publications. However, the changes in expenditure levels among the various fields were largely unplanned. They do not reflect the significance of such factors as building on the strength of existing collections and maintaining the subject strengths in fields which may have experienced periods of reduced activity.

The field of classics, for example, has shown a substantial revival of activity since 1971/72, increasing from a faculty of nine in that year to thirteen in 1977/78. We suspect though we cannot be sure that this has aggravated a decline in the library resources available to the Department of Classics. Though we know that expenditures for the Central Research Collections have declined relative to the total, we can only infer that Classics, as one of their components, is also receiving a lesser share of the total library dollar than in 1971/72. There is also under the existing arrangement no measure of the response of our allocations to fields with rapidly expanding literatures. Computer science is a dramatic example of this. While it presumably shared in the increased expenditures in mathematics, engineering and physical sciences, no data are available to relate Cornell acquisitions in the field to the vast increase in published research and information.

There is no question that the allocation of resources for maintaining and building the collections must be systematized and the management information available for allocation decisions improved. The Collection Development and Management Project itself is evidence of this. It has been repeatedly stated that the increasing complexity of the array of information resources and the changing requirements of existing subject fields and academic programs require a more systematic plan of analysis of need and plan for allocation. These conditions are compounded by new programs carrying new--even if sometimes hidden--demands on the library. New programs emerge in spite of protestations from university administrations and their reiterated assertions that hard choices are going to be made. These internal requirements for more useful management information and for effective planning are accentuated by the rightful insistence by university administrators on greater accountability and clearer and more rational justification of library needs.

The major feature of the plans that we are proposing as a means of systematizing the budget and allocation processes is the establishment of a Policy and Allocation Board.* To a considerable extent this would replace the position of Assistant University Librarian for Collection Development with an agency having broader campus-wide responsibilities and greater authority for budget preparation and fund allocation. Under the chairmanship of the University Librarian it would have overall responsibility for collection development policy and the establishment of priorities in all sectors of the library system. The Board would prepare the budget and, with the approval of the University Librarian, allocate all funds, including general unrestricted funds, derived from the University budget for books and library materials.

Subject to specific endowment or other restrictions, the Board would have the authority to allocate or to retain endowed income or other restricted funds for books and library materials. As part of the allocation process any arrangements for direct funding of library books or materials for any part of the University Library system by any other academic unit of the University should be reviewed by the Policy and Allocation Board. Similarly as part of its campus-wide responsibilities, the Board should review and certify to the appropriate Dean or administrative authority any requests or proposals for funding of collection development in the statutory libraries whether as part of the regular budget process or as special requests.

In all respects the Policy and Allocation Board would act as an agent for and under the executive authority of the University Librarian.

The recent literature abounds in ideas and descriptions of methods and devices for rationalizing and allocation of book funds. A bibliography of some of these appearing since 1970 is attached in Appendix III. Probably the most promising method for providing some of the management information needed in planning for book fund allocation as well as preparing Library/Collection profiles is the set of computer programs and procedures developed and being used by the State University of New York Office of Library Services to provide a management information system for library collection development. While the effort made by the SUNY project to effect a direct relationship between classes of library materials and the HEGIS (Higher Education General Information Survey - U.S. Department of Education) taxonomy would not be applicable to the framework of Libraries and Special Collections that will have to guide plans for collection development at Cornell, the programs for using OCLC tapes could be directly applied to the Cornell situation. They would require a good deal of supplementation but the procedures described for collection analysis in the 1977 report of the SUNY project, in combination with other techniques, would provide much of the data needed for decisions at both the system wide level and at the specialized Library and Collection level.[35]

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*See Section VII, p. 37 et seq.

The procedures described in the second part of the SUNY project could also be useful with very considerable modification, although it is unlikely that an effort to develop a classification of academic programs parallel to the LC classification as SUNY has done with the HEGIS taxonomy would be worth the amount of work required. Nor is it proposed to apply at Cornell the kind of formula which is one of the objectives of the SUNY project as described in the December 1978 report entitled Development of a Responsive Library Acquisitions Formula.[36]

E. Framework for Decision-making for Allocation of Book Funds

The framework for decision-making for fund allocation is essentially the same as for the selection process. It consists of the set of Libraries and Collections for which Library/Collection profiles will be developed and for which collection development policy statements will be proposed. The reasons for using this in place of the more refined and sophisticated grid of Collections suggested in the Interim Report by Hendrik Edelman are explained earlier in this report. This set of Libraries and Collections is advantageous for this purpose because it fits the pattern for which book fund accounting records have been kept over a period of years. The data on acquisitions and serials and the shelf list measurement data also conform to this breakdown to a considerable degree.

It has the disadvantage of concealing overlappings and duplications that are not detectable in the data or in the accounts.

A revised or new accounting system should be designed to be compatible with the pattern of the existing framework and at the same time to be capable of other combinations of data particularly in combining monographs, series and serials data, and providing unit cost data.

The budgeting system which is part of the framework within which the allocation process operates would necessarily be different from the current arrangement if funding for specialized information resources were to be derived, as we have suggested, from the particular academic unit or client group requiring or requesting such resources. At the same time the budget process should account for income from endowments and restricted funds more directly than at present. Even though the purposes of these funds are known, the somewhat uncertain forecasts of their anticipated income complicates the allocation of general appropriated funds. Therefore, in planning for the allocation of book funds three elements in the budget process for University funds should be provided for. These are:

1. The allocation of book funds from general University appropriations.
2. The relation of endowed income and other restricted funds to a set of items or fund objects that conform to the breakdown for the allocation from the general book fund appropriation, i.e. monographs, serials, memberships etc.
3. The relation of special purpose funds from other academic units to the same set of items or fund objects.

The budget process for the statutory colleges will presumably continue to differ from that for the endowed divisions of the library system. To a considerable extent the budget process in the statutory libraries incorporates the allocation process, and therefore budget review of the statutory libraries by the proposed Policy and Allocation Board would provide for the overall coordination of the library spending plan for books and library materials.

The most important feature in providing a compatible financial framework for the endowed and the state-supported divisions would appear to be to develop a common set of sub-categories within the state system of accounts so that what was categorized as an expenditure for a serial in one place, for example, would be also categorized the same way in another.

F. Preparing the Guidelines for Book Fund Allocation

An essential function of the proposals being submitted for preparing a collection development plan is to outline how guidelines may be prepared for the allocation of book funds and to sketch out the factors that are involved in decision-making. The purpose should be to describe the factors that should be considered in allocating funds to the major segments of the central research collections and to the several college and department libraries. In spite of the emphasis in many quarters, particularly where government is a primary source of funding, on quantitative measures of analysis and on the developing formulas, we do not believe this is a practical approach at Cornell nor at other large and complex research institutions. The factors and variables that must be considered will not have the same relative values from collection to collection, or library to library, or from year to year for the same collection or library. What we are presenting, therefore, to those who will be reviewing these proposals or implementing this plan or some modified version of it are the factors to be considered in making an informed judgment with the recognition that one must also be alert to the political implications of any decision.

The guidelines that are to be used in the budgeting and allocation process involve largely the factors that apply to collection analysis and assessment. In organizing the staff effort to develop these and to explain how they are to be applied, the manual developed by ARL in connection with the ARL collection analysis project can be used to supplement this report.[37]

The list of factors identifies the various considerations that guide decisions on fund allocation. Whenever possible notes should present or refer to data and information needed. In the scheme contemplated by the report the factors are not weighted. The values will change from case to case and are based on the experience, understanding and wisdom of the decision-maker. It may be that a mathematical expression could be given to the decision-making process, but the allocation decisions are among the more critical that a library executive makes and they rest on judgment, insight and experience. The guidelines serve to assist the judgment in making sure that all the important factors are being considered. It is not suggested that standards be established except as they may evolve if experience indicates that they will serve a prupose.

G. Factors for Decision-making on Book Fund Allocations Based on Library or Collection Analysis

The basic data and management information that would be required to use these factors in the decision-making process is summarized in the "Library/Collection Profile".

1. Historical Factors

a. Recent past experience with the collection based on informed views of librarian or bibliographer. Is the collection improving, deterioriating or showing little change?

b. Special features of the collection that have made it distinguished or particularly useful.

c. Have there been noteworthy stages of development in the past? Reference: (Library/Collection Profile. B.)

2. Evaluative Factors

a. Level of acquisitions as reported in Livingston survey. Include forecasts by librarian or bibliographer; library committee or library liaison. Identification of future needs. (Library/Collection Profile. C. 2.)

b. Faculty and Graduate Student evaluations

(1). Tabulate results of questions 9 & 10 of User Survey for faculty and graduate student groupings most closely identified with Collection or Library.

(2). Tabulate results on question 9 B., C., and D. and 10 of User Survey for faculty and graduate students identifying themselves as "using this collection or library most often", and who are also identified as "frequent users" (visiting a Library or libraries 4 or more times per week.)

(3). Tabulate for faculty and graduate student groupings most closely identified with a specific Collection or Library the responses to questions 5 and 10 A., B., C.

(4). Appraisals of segments of collections by Faculty liaison groups.

3. Environmental Factors

a. Ratings of academic programs served. By outside agencies; internal agencies. (see Library/Collection Profile D. 2.02)

b. Ratings of academic programs served - by faculty liaison groups. Views and opinions would be sought from faculty liaison group for social sciences -- for example, in the social sciences as to where, in what areas or subjects emphasis or special resources might be needed.

c. Indicators of Academic activity -- for example, full-time faculty; graduate enrollment -- (Refer to Collection Development & Management at Cornell. Interim Report - p. 28, Table 28) for departments, schools, or colleges served. (See Library/ Collection Profile D. 2.03) Undergraduate enrollment; undergraduate courses, undergraduate majors.

  - d. Views and opinions of Deans on academic programs served. Where do they rank in the college's or school's order of priorities?
  - e. Estimates of trends in publishing and research output. Develop means for estimating publishing and research output in specific academic fields.

4. Growth Factors Note: All data to be divided by Statutory and Endowed.
    - a. Tabulate rate of growth in items added (net) for the Library or Collection in a comparison to total system rate of growth/and -- possibly -- in comparison to related (selected) Collections or Libraries.
    - b. Tabulate comparative percentage of Growth in Volumes as a share of Total System Growth.
    - c. Tabulate growth in monograph titles -- using shelflist measurements and other data reported in Interim Report.
    - d. Tabulate growth of microform units.
    - e. Tabulate number of serial titles; number of serial subscriptions by year.
    - f. Tabulate number of serial subscription cancellations.
    - g. Tabulate serial duplications.
    - h. Calculate volume equivalents for serials in specific subject groupings and relate to Libraries or Collections.
5. Cost and Expenditure Factors Note: All data to be divided by Statutory and Endowed.
    - a. Tabulate by year book fund expenditures as percentage of total book expenditures for total system.
    - b. Tabulate total book fund expenditures by monographs, SOMS*, serials by year with percentage increase by total.
    - c. Unit cost figures for monographs (volumes) by year.
    - d. Average subscription cost by year without gifts or exchange subscriptions.
6. Special Support Factors
    - a. Endowment income.
    - b. Money gifts.
    - c. Other restricted fund support.
7. Special Needs
8. Political Factors

*SOMS is an abbreviation for Standing Orders and Monographs in Series.

H. Summary of Proposed Action in Relation to Administration, Budget and Book Fund Allocation

In discussing possible changes in the administrative, budgetary and allocation processes as they relate to collection development several proposals have been made. These are:

1. Establish a Policy and Allocation Board to formulate and administer collection development policy on a campus-wide basis; to establish collection development priorities; to oversee and coordinate the collection development function throughout the University library system, to allocate funds for the acquisition of books, serials and other library materials; to review certain classes of expenditure decisions; and to make expenditure decisions involving large amounts.
2. Investigate with the University administration the feasibility of a two-tier library budget process comprised of (a) the basic University library budget, including both appropriated funds and endowments, and (b) funding from other academic units for specialized information resource needs and particular program requirements.
3. Install a procedure for the effective review and certification by the Policy and Allocation Board of requests and proposals for funding collection development in the statutory libraries whether as part of the regular budget process or as special requests. Provision for such review should be made prior to submission of requests to the funding authority. This review should be regarded as part of the allocation process and should be in preparation of an annual campus wide spending plan.
4. As a matter of urgency design and install a Computerized Acquisitions and Accounting System to be integrated with the accounting component of the serials system.
5. As a matter of urgency develop a Serials Control and Accounting System based on the recently created current serials data base.
6. Prepare a set of guidelines to be used in the budgeting and book fund allocation process for the Libraries and Collections.

X. DATA AND INFORMATION FOR COLLECTION DEVELOPMENT PLANNING

As Mr. Edelman pointed out in the Interim Report, one of the critical handicaps that Cornell suffered from in trying to do any systematic planning for collection development was the lack of crucial data and the lack of standardization of much of the statistical data that was being collected. To a considerable extent, this condition is due to the division between endowed and State supported units. The decentralized nature of the University's operations compounds the problem. Cornell, of course, is not alone in having endured the lack of crucial data in standardized form. This has been pervasive among academic libraries even though until recently little account has been taken of it. Professor Machlup has served us well in voicing his frustrations in trying to collect data for his study on Information through the Printed Word.[38] Certainly he, along with many University administrators, has helped raise the consciousness level of library managers as to the critical need for sound statistical data and information relating to library acquisitions and collection growth. They are essential to show accountability and to support budget requests. Furthermore, an effective management information system must be in place in order to plan for future collection development.

Although the decision-making process being suggested for the allocation of resources does not propose the application of a formula, quantitative data must be available as a basis for informed judgments. In order to be most useful for a plan based on Libraries and Collections, the data needs to be built up from the library unit with the aggregates at whatever level or grouping desired being derived from the sums of the data from the units. Most of the data that have been assembled for the project have been organized in this way. A summary list of data collected during the project is contained in Appendix IV of this Report.

The principal categories of data and information needed for planning purposes are Size and Growth of the Collections; Price, Cost and Expenditure Data; Information and Data on Use of Materials; User Needs and Perceptions; Information and Data on Academic Departments and Programs.

A. Data on Size and Growth of the Collections.

The data and information on the size and growth and the collections are to be used for space planning including storage requirements; for relating to expenditure figures to calculate unit costs and overall price trends; and for determining trends in the flow of acquisitions.

At an early stage, if the plan is to be implemented, an intensive review should be made of the data currently being collected. This could be undertaken as part of the design of new accounting and acquisition systems. At the same time, the possible application of the computer programs developed by the Office of Library Services of the State University of New York as part of their project for Collection Development Analysis using OCLC Archival tapes should be very carefully explored.[39] It would appear that, with some modification to allow for the breakdown by Libraries and Collections and for categorizations by different formats, the SUNY programs might prove extremely useful for planning an improved data collection and statistical reporting system.

Some of the problems with the data that have been assembled for the project indicate that the categories of materials that are to be measured in order to determine collection growth should be defined. Cornell is committed to a physical count for print and so-called near-print materials rather than a bibliographical count. For unbound serials and pamphlet files, a "volume equivalent" can be applied that should enable reasonably accurate data to be compiled. Because of the difficulty of determining a standard unit for measuring the collections and because of the importance of accurate collection growth data for space planning, a considerable effort was made during the project to develop volume to title ratios for different LC classes and for different Libraries and Collections. The methodology is reported in pages 18-19 of the Interim Report and the data themselves are contained in the Project files.

Categories needing definition and separate measurement are, in addition to physical volumes for print and near-print publications: microfiche, microprint, roll microfilm, maps, archives and files, audio tapes, audio discs, video tapes, and slides/transparencies. The suggested forms for data collection shown by the Data Sheets in Figure I (p. 51) identify the various types of material that need to be measured.

Serial publications are incorporated in the volume-title ratios developed by the project and are therefore part of any part of any volume growth projections by LC class based on shelf list counts. For current data, "volume equivalents" could be developed as part of the new Current Serials data base programs and incorporated in the computer record. Serial reports that have already been derived from the data base are:

Report #1 - Tabulation of Number of Serials by Two-letter LC Class by Type of Serial

Report #2 - Tabulation of Number of Serials by Two-letter LC Class by Library or Collection

Report #3 - Tabulation of Number of Serial Titles Duplicated by Library

Report #4 - Tabulation of Serials by Language, by LC Class and Library

For purposes of aggregating the book collections, i.e. print and near-print publications that can be counted in volumes, Mr. Edelman developed a schedule based on the LC classification for grouping in large conventional classes such as humanities, social sciences, and physical sciences. The breakdown is somewhat similar to that described by Professor Machlup.[40] Although Mr. Edelman grouped all the sciences together, the Cornell situation requires a grouping of sciences that will more nearly approximate the academic departments, colleges and schools as well as the Libraries and Collections. Therefore, Table VI proposes groupings, based on Mr. Edelman's schedule, that can be applied to the Collections using LC classes and to the academic departments and graduate fields. (See p. 78)

At the present time the only devices that we have at Cornell for measuring the collection and estimating growth by subject divisions, apart from the very coarse Library/Collection breakdowns, is the shelf list measurement technique and physical count, both of which are described in the Interim Report. An effort was made to experiment with a current physical count technique that would have given us a breakdown by LC class by Library and by type of material, i.e. books, serials, U.S. government documents (monographs and serials) and foreign and international documents (monographs and serials). This proved to be too cumbersome and expensive to undertake throughout the library system.

Table VI

Schedule of LC Classes by Academic Groupings

General Terms	CU Libraries Grouping by LC Class	Machlup Grouping by LC Class
General Reference, Research and Bibliographies	A; Z	A; Z
Humanities		B; G; M; N; P
Philosophy	B-BD; BH-BJ	
Religion	BL-BX	
History	C-F	
Geography	G	
Music	M	
Art	N	
Language and Literature	P	
Social Sciences		C; D; E; F; H; J
Anthropology	GN; GR	
Psychology	BF	
Manners and Customs	GF: GT-GV	
Other Social Sciences	H; J	
Law	K	K
Education	L	L
Science		Q
Physical Sciences	GA; GB; GC: Q; QA; QC; QD; QE	
Engineering and Technology	T	T
Biological Sciences	QN; QK; QL; QM; QP; QR	
Agriculture	S	
Medicine	R	R; S
Other Sciences	W; V	W; V

Future planning will require these kinds of data as long as the printed book format comprises the bulk of library collections. This report assumes that a new computerized acquisition system linked to an online cataloging system would be able to produce information on either numbers of items or numbers of titles by LC class by Library/Collection. If the data were produced by title, the ratio of titles to volume that we have already developed for this project could be applied, subject to verification by sampling from time to time. With fairly simple adaptation, the current serials data base can presumably be used for serials control and to generate needed data by title by LC class for each library or for the system as a whole, possibly with an automatic estimate for "volume equivalent."

B. Price, Cost and Expenditure Data

Presumably these data will be derived from whatever accounting and acquisition system is adopted. A standard report form should be developed to provide, in addition to breakdowns by major funds and by Libraries/ Collections, data by forms and by subject. The matrix that appears as Figure 1 with the outline of the Library/ Collection profile on page 51 identifies some of the data required from a new acquisition and accounting system.

The price information called for by the field definitions in the serials records that form the Current Serials data base should be added as soon as a new accounting and acquisition system has been put in place.

Although Cornell has used some of the generally available serial price indexes, we found, as Mr. McGrath pointed out, that locally generated data produce the only reliable information for local purposes because of the unique mix of serials.[41] Some work was begun on subscription expenditures, using the method described by Sally Williams in the Winter 1978 issue of Collection Management.[42] These data were prepared using a selected core list of journal subscriptions for several major segments of the collection. The selection was very small and if the price data cannot be added into the Current Serials data base quickly, the sample of titles used should be expanded and additional segments of the periodical collection added if the list and price information is to be useful for plotting price trends.

C. Data and Information on Use of Materials.

In developing the Collection Development Project emphasis was given to collecting data on collection growth and expenditure. Nevertheless, in planning for future collection development at Cornell, information and statistics going beyond what are now being collected on use of materials will be required for collection analysis and evaluation and for planning. This will mean exercising some degree of caution to avoid some of the confusions and biased assumptions appearing in studies like the Allan Kent study at the University of Pittsburgh. In preparing to assemble information on use of library materials for Cornell it is necessary to identify research use and to distinguish this from use for undergraduate and professional instruction. The Kent study failed to do this. It emphasized external use as indicated by circulation and made assumptions that in-house use followed patterns of external use. Comments on the Kent study have made the point that circulation is predominantly a measure of undergraduate use or an indication of general reading interests on the part of faculty and others and that much of the research use is non-recorded internal use. The methods of the Kent study for determining non-recorded internal use have been seriously questioned.[43]

Therefore if use of materials is to be one of the important factors in the management information system on which collection development planning at Cornell will rest, the system must provide some reliable information on what faculty, graduate students and others are really doing with the library materials at hand when they are engaged in research in the library.

D. Information on User Needs and Perceptions

At the beginning of the Project there were no data and very little objective information on how the users of the library collections viewed them in relation to their research and teaching requirements. It became apparent that any effort to evaluate the collections, even in broadly defined groupings like the humanities or social sciences, needed a mechanism to provide some notion of how the research users, that is faculty and graduate students, viewed the library resources that they were using.

The Survey of Users of the Research Collections of the University Libraries was designed for this purpose, and a draft of the final report of the survey is now available. The code book included as an appendix of that report can be used to extract data contained in the computer files which have not been tabulated in the compilations contained in the draft report. The major work that remains to be done in preparation for using the survey results for planning purposes is an analysis of the data on graduate students, correlating them with the faculty responses.

E. Information and Data on Academic Departments and Programs

The information requirements from academic departments that are needed for collection development purposes are outlined in the "Library/Collection Profile." Some of the available data are described on pages 26-28 of the *Interim Report*. Increasingly, information and data on academic activity are being assembled in the Cornell University Office of Institutional Planning and Analysis.

XI. COLLECTION MANAGEMENT

When we first undertook to describe what we came to call the Cornell Collection Development and Management Project, Mr. Edelman and I conceived of collection development and collection management as closely related aspects of the same function and quite indivisible. In the course of carrying out the later phases of the study is came to appear that "Collection Management" involved operations and activities distinct from collection development even though there are areas of overlap and interdependence.

Nevertheless, the planning for the collection management function could well be carried out in parallel to the proposals for collection development planning. First of all a new framework for collection management is needed to replace the limited scope of the functions now assigned to the circulation/loan departments. We have defined Collection Management as the supervision and control of the library collections, including books, journals and other library materials, the management of the library processes involved in providing physical access to and use of the library collections; planning and managing the space required to house the collections; and conserving and preserving the collections. In the reorganization of the Columbia University Libraries in 1975 and 1976 the term "Access Services" was used to describe a set of operations and activities that could be adapted to the Cornell situation.[44] Collection management would then be one of the principal functions of an Access Services Department in the Olin Research Library. Such a department would also comprise circulation/loan services, interlibrary services, microform collections, and special reserve collections including course reserves. The responsibility for Access Services including collection management in the other libraries of the system would belong to the Librarian in charge. Coordination responsibility throughout the system could be assigned either to the Access Services Librarian for the central collections of the Assistant University Librarian for Public Services and Library Resources.

The principal elements of the collection management function, whether for the central collections or for the other libraries in the system, would consist of:

1. Duplication of serials and monographs within Libraries or specific Collections. (System decisions would be a responsibility for collection development librarians.)

2. Replacement within Libraries or within specific Collections.
3. Initiation of withdrawals with decision responsibility exercised by the appropriate collection development librarian.
4. Storage decisions.
5. Management of the Annex Library. (Assigned to the Librarian in charge of the Access Services Department of the central research library.)
6. Security of the collections.
7. Conservation and preservation. (Decisions would be made in consultation with the collection development librarians.)
8. Binding.
9. Local microfilming programs.
10. Management of microform collections.
11. Development and application of measures of collection use.
12. Identification of high use areas of the collections and formulation of policy to sustain and improve availability of frequently used materials.

It is clear that many of the decisions that collection managers and the Library administration are making require much improved measurement of collection use, both external and internal. The proposal in the preceding chapter recommends that present data collection of collections use be reviewed and made a part of an expanded management information system.

If, as one would assume, satisfactory data can be provided and responsible management talent is at hand then the Access Services Department should have an established budget for library materials separate from the funds for the acquisition and collection development budget. This would provide a sound basis for acquiring replacements, ordering duplicates in response to heavy demand, acting rapidly and flexibly on course reserve collections and having a known base of support for binding and conservation measures. One of the critical elements by which library service is judged by users is the actual availability of the document when it is needed. In the Survey of Users of the Research Collections the more negative responses from both faculty and graduate students tended to cluster around aspects of collection management. While the physical condition was generally viewed as reasonably good, the occurrence of missing volumes and tracing of non-located volumes were cited on average rather negatively. Graduate students felt reshelving was not to be well done, while they regarded it as a function of great importance.[45] The Survey pointed up the importance of collection management operations in the perception of the users of the collections and indicated that these operations were not being performed satisfactorily. The provision of a specific budget for an Access Services Department to apply to collection management operations could be expected to produce specific improvements in services.

Several preliminary steps carried on during the Project were intended as preparation for planning how collection management would function at Cornell in the future. These included a study developing procedures for managing the available shelf space in the library system, several sample inventories to investigate rates of missing volumes in various components of the collections, and the work carried out on procedures and criteria for selection of materials for storage in the Annex Library. The documentation for these is cited in Appendix II of this report.

The next steps in developing the plans are summarized in the following outline.

A. Measurements of Use, Capacity and Flow of Material
    1. Refine and elaborate the "Interactive Model for Managing Book Storage". (See Appendix II.)
    2. Design statistical reporting system for collection use.

B. Storage - Annex Library
    1. Expand Guidelines for Selection and incorporate detailed criteria and procedures for selection and transfer.
    2. Install microcomputer inventory control system for Annex Library.

C. Structure and Organization of Access Services Department
    1. Prepare description of the Access Services Department and its relationship to the existing library organization.

D. Internal Procedures and Processes
    1. Prepare procedure manual covering:
        a. Duplication
        b. Replacement
        c. High use materials
        d. Withdrawals
        e. Security
        f. Conservation
        g. Binding
        h. Microfilming - local programs

E. Policies and Procedures for On-campus Users
    1. Review existing policies and procedures campus-wide.
    2. Prepare a uniform code for all campus libraries, limited to policies and practices that can be applied campus-wide.
    3. Prepare a guide that each library can use in drawing up its own set of user policies and regulations.

F. Policies and procedures for external users.

G. Policies and procedures for interlibrary services
    1. Review and consolidate existing policies and procedures.

In the Cornell context collection management, like collection development, will be decentralized at the operational level with immediate responsibility for many decisions resting with the librarians in charge of the various libraries. It is important, therefore, in planning the administrative arrangements, that emphasis be placed on how coordination is to be handled and whose responsibility it is. The existing arrangements require strengthening. At the same time, as the outline for planning suggests, the policies and procedures that control how users have access to the collections should be emphasized. It is here that some degree of uniformity and conformity needs to be maintained. A great deal can be achieved toward effective coordination in a decentralized condition by assuring the compatibility of written procedures and regulations.

Although the collection management function may operate in a decentralized mode, other access service operations, notably Interlibrary Services, will have to be centralized and the plan should take account of this.

XII. SUMMARY OF PROPOSED PLANNING PROCESS

A. Organizing the Planning Effort

If the University Libraries administration decides to continue the planning for collection development in the direction suggested by this report, it will need to act quickly to organize the planning effort, to take advantage of the momentum for change engendered by the appointment of a new University Librarian. It is important that the planning be under the active direction of the University Librarian so that the results will conform with the general goals and directions being formulated by the new administration.

Because collection development itself involves several kinds of specialized intellectual skills and its functions and activities are inextricably part of the academic work of the University, participation by library staff and faculty is going to be an essential part of the planning process. We propose that the University Librarian constitute a Working Party on Collection Development at Cornell. Suggestions for staff participation may be found in the first chapter of the ARL self-study manual.[46] A set of terms of reference for the Working Party is proposed as a guide. (See Table VII)

The Working Party will use as a working paper both the Interim Report and the Concluding Report on Collection Development and Management at Cornell. This will be helpful in focusing the work of the group. Supplementing this the Working Party may find the ARL study manual, The Collection Analysis Project, an Assisted Self-Study Manual by Jeffrey Gardner and Duane Webster, published by the ARL Office of Management Studies helpful as a reference document.

Table VII

WORKING PARTY ON COLLECTION DEVELOPMENT AT CORNELL
TERMS OF REFERENCE

The Working Party is constituted by the University Librarian and will report to him. Its work will be guided by the following terms of reference:

1. Review current practices and procedures involved in selection, acquisition, current serial acquisition and control, and gifts and exchange of all types and formats of library materials in all units of the library system.
2. Consider the proposals contained in Collection Development and Management at Cornell; A Concluding Report... with Proposals for Future Planning as these relate to current practices and to formulations and development of future policies and practices.
3. Confirm, modify, or change proposals in the report.
4. Prepare a planning document setting out a plan for collection development with recommendations and a schedule for implementation.

The Working Party should note 1.) that matters relating to administration, budget, and organization are being dealt with by an Administrative Study Committee chaired by the University Librarian and that questions or suggestions relating to these matters should be referred to that Committee for consideration; and 2.) that elements of the collection management function need by examined only as they impinge directly on the collection development functions.

Because the formulation of future policies and the planning for their implementation will depend on the staff organization and structure and the administratvie arrangements for funding the collections, a separate Administrative Study Committee is proposed to plan for the changes and provide a framework for the deliberations of the Working Party on Collection Development. The background and talents required to deal with the administrative and financial matters involved in carrying out the collection development function are quite different from those needed to work on the policies and processes of collection development and on the substantive issues associated with them. Therefore, the proposal is for a separate group to address administrative matters. A set of terms of reference is suggested in Table VIII as an illustration of how the work of the Administrative Study Committee might be described.

The Committee will use as a working paper the Concluding Report on Collection Development and Management at Cornell.

Table VIII

ADMINISTRATIVE STUDY COMMITTEE ON FUNDING AND ORGANIZATION OF COLLECTION DEVELOPMENT AT CORNELL

TERMS OF REFERENCE

The Committee is appointed by and chaired by the University Librarian. It may include the University Provost or his representative and a representative member of the Library Board. Its work will be guided by the following terms of reference.

1. Review of existing budget and accounting practices with respect to book funds within the University Library system.
2. Lay out broad plans for application of computerized acquisitions and accounting system.
3. Examine potential for cost analysis of expenditures for collections including salaries and wages.
4. Formulate reasonable University policies 1.) for funding specialized information and library needs, and 2.) for assessing costs to the appropriate academic unit for new or special program needs for information and library resources.
5. Consider the proposals contained in the Concluding Report on Collection Development and Management at Cornell as these relate to the future structure and organization of the collection development function and to future book fund budget and accounting practices.
6. Prepare recommendations for the University administration and the Library administration concerning 1.) the future funding for the Library collections and for the other information resources of the University; 2.) a new or modified book fund accounting system; 3.) the future organization of the collection development function within the Library system and of the University's total information resources network.

In addition to organizing staff and faculty participation, consideration should be given at this stage to providing for outside review and consultation. This could be conducted by an advisory committee which might be a continuation of the existing Advisory Committee for the Collection Development and Management Project or by ad hoc consultants as the occasion required.

Prior to reviewing the planning goals and objectives, there should be agreement on a Mission Statement covering the total mission of the University Library system. This should be formulated by both the Working Party and the Administrative Study Committee after discussion and review with other library staff and with the University Provost or his representative.

Subsequent to this, both groups should review and analyze their planning goals and objectives and the extent to which they wish to accept or modify those proposed in this Report.

Guided by a mission statement and a set of planning goals and objectives, the Working Party and the Administrative Study Committee should jointly define in fairly explicit terms the extent of the responsibilities of the University Libraries in building and maintaining the collections and other information resources of the University. This definition will then serve as the background and general basis on which the Working Party can develop its specific plans for collection analysis and the preparation of collection development policy Library by Library and Collection by Collection.

B. Stages in the Planning Process

1. Organization and Structure (Report, p. 37-42). The first topic to be addressed by the Administrative Study Committee should be the question of revising the staff organization for collection development. The review and analysis of the proposals in Section VII in relation to changes that are already in process should bring forward the major questions of responsibility and the character and flow of decisions that need to be considered. At the same time consideration should be given to determining the linkages between elements of the University library system and nodes in the other parts of the University information resources network.
2. Budget and Expenditure (Report, p. 57-67; 75-81; (also Statistics, etc.)). In examining the budget process and the expenditure patterns, the immediate planning problem is to plan the

future system indicating how book fund accounts are to be set up and how expenditures are to be controlled. Secondly, the implications of the proposals for funding of specified library-administered resources by charges to or funding by other academic units requires study by both endowed and statutory divisions of the University's fiscal administration.

The definition of the data and information to be required from a new computer acquisition and accounting system should be developed with the Working Party on Collection Development so that expenditures and cost data can be properly related to various measures that will be applied to the growth of the collections.

3. Library/Collection Analysis (Report, p. 45-55). In preparation for planning for this phase of collection development, the Working Party should review the data assembled during the first part of the Collection Development Project and particularly the work undertaken by Susan Livingston in 1978 to determine to what extent new plans should provide for continuation of these analyses of collection composition. Presumably these would form an element in the plan for preparing Library/Collection Profiles. Before incorporating the proposals for Library/Collection Profiles into the plan for Collection Analysis, the proposed outline for them should be carefully and critically scrutinized. Preparation of these profiles will represent a great deal of time and effort and the staff compiling them should be consulted in order to evaluate their anticipated use in relation to the collection development function in the Libraries and in appraising the Collections to which they will apply. The three principal purposes of the collection development profiles are: 1.) to provide the data and information from the past showing growth patterns in the specific Library or Collection, 2.) to analyze the composition of the Library or Collection in relation to needs of primary client groups, and 3.) to provide the background of information and data for preparing collection development policy statements for each Library or Collection.

4. Collection Development Policy (Report, p. 45-49). In the planning phase of preparing the policy statements that will eventually encompass each Library or Collection in the library system, the Working Party should 1.) prepare a general statement of University-wide policy on library collections; 2.) examine how and by whom the specific Library or Collection policy statements will be drafted; 3.) prepare a standard outline for the statements; and 4.) set up a review process that will assure conformity with the general collection policies and priorities.

   If the approach to the role and responsibilities of the University Libraries in collection development and to their relationship to the total array of information resources of the University as proposed in this report is accepted, then a major purpose of the collection development policy statement is to provide the means for distinguishing between 1.) the basic core of the research collections in each Library or Collection, 2.) specialized research or instructional resources required to serve specific programs or new programs with highly specialized needs, and 3.) areas of peripheral concern. Therefore, one of the critical tasks of the Working Party in its planning will be to provide instructions and illustrations that will enable the compilers of collection development policy to define what the basic core collection should be in a particular Library or Collection and to identify in a reasonable way the composition and character of specialized resources that are significant to a client group or specific academic program but which are essentially not part of the basic core collection.

5. Planning the Budgeting and Allocation Process (Report, p. 67-74). The Working Party and the Administrative Study Committee should jointly review existing procedures for preparing the budget for library materials and for allocating book funds from all sources. Subsequently, joint discussions of the notes and outline contained in Section IX of this Report could be held. While it would seem that the responsibility for submitting recommendations for a plan or design of a budgeting and allocation process would be in the hands of the Administrative Study Committee, formal suggestions from the Working Party should be solicited.

6. Management Information System (Report, p. 75-81; 83-86). In the other phases of the planning process many of the data elements and categories of information that will be needed in managing and operating the collection development function will be identified. However, a component of the plan should bring them together so that they can be identified as to source, frequency of reporting, and responsibility for generating or inputting the new data if they are not automatically generated.
7. Report and Recommendations. Implementation of the plan should be the immediate goal of the report and recommendations. At this stage, the Working Party and the Administrative Study Committee should together work out the mechanism by which a single report and set of recommendations is put together and a time table for implementation is agreed to. Chapter XII of the ARL self-study manual will be helpful in organizing this final phase of the plan.

XIII. A LOOK TO THE FUTURE

Two topics that are critically important to collection development and to collection management have only been touched upon in the two Project reports. These are the problems associated with bibliographic access and the bibliographic record and the problems associated with resource sharing. Both of these problem areas require planning outside of Cornell and major policy decisions by Cornell in association with other institutions before Cornell can begin the internal study of the possible solutions to some of these problems and of the impact they might have on Cornell's collection development plan. The imminent affiliation of Cornell with the Research Library Group seemed to make it premature for Cornell to undertake the formulation of a resource sharing policy on its own. Likewise in dealing with the problems of bibliographic access and the bibliographic record it seemed that some experience in working within the RLIN network would be needed before assessing the impact of RLIN systems and operations on Cornell collection development or trying to plan for the potential linkages that might be productive.

Many of the problems with respect to bibliographic access and the bibliographic record go beyond what RLIN or any of the other bibliographic utilities are trying to do. More fundamental changes should be contemplated and we urge Cornell to take some initiative in projecting these changes. Mr. Edelman and Mr. Hazen suggested the direction such changes might take in their Interim Report, "Bibliographic treatment...is another Project-related concern in which tangible progress has been slight. Librarians sustain an almost reflexive aspiration to full bibliographic description of all library materials, even as they exempt such categories as vertical files and many microform holdings from this exalted goal. Clearly, the utility and success of a library collection depend on adequate bibliographic access to its holdings. Bibliographic access, however, has typically been confused with in-depth cataloging. As card files overflow, actual accessibility may well be reduced rather than enhanced.

"In a related aspect, the Annex Library's closed stacks and potential for differently-organized storage space may allow CUL to develop or retain 'second-level' collections, for which in-depth access is less crucial. In some cases, such as certain gift collections, the value of materials lies as much in their juxtaposition to one another as in the specific holdings. Likewise, some highly specialized report literature or esoteric foreign area collections might be kept together and made accessible through separate files or finding guides. Archival treatment might provide a model for bibliographic access to such collections. Integration of uniformly detailed bibliographic records in a single file is not necessarily a blessing, either to user or to library staff.

"The entire concept of access, thus, bears reexamination, even though American librarianship has been predicatdd upon one solution, and even though this solution has been enshrined and perpetuated in the major bibliographic utilities. Bibliographic and physical access are related issues. New possibilities in dealing with either should be fully explored, both independently and in light of the other. Bibliographic and physical access can alike be subsumed under the broad rubric of collection management."[47]

This view is strongly endorsed by the present Project Director. While these problems lie somewhat outside the scope of this Report, nevertheless, they are clearly an aspect of collection management and closely related to the collection development function. A study of the problems and possible new solutions would be a matter of far reaching consequence involving national, as well as local, policy interests in libraries and information science. It is hoped that the results of such a study would improve means of both physical and bibliographic access and offer opportunities for major cost reductions in the whole area of technical processing.

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10. Ibid.

11. J. Gormly Miller, "Report of Cornell University Libraries Self-study," Transmitted to David Knapp, Provost Cornell University, 10 June 1975. 29 pp.

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19. Ibid., p. 6, Table II-1; p. 33, Table III-2.

20. Ibid., Appendix A.1.4.

21. McCarthy, "Felix Reichmann," pp. 215-221.

22. Edelman and Hazen, Collection Development, pp. 31-34.

23. Ibid., pp. 1, 3-5.

24. Hendrik Edelman, "Selection methodology in academic libraries," Library Resources and Technical Services 23 (Winter, 1979): pp. 33-38.

25. Ibid., p. 35.

26. *The Administrative Organization of the Libraries of Columbia University*, rev. ed. (New York: Columbia University Libraries, 1975), p. I 1.1.

27. Edelman, "Selection methodology," p. 35.

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29. David L. Perkins, ed., *Guidelines for Collection Development* (Chicago: American Library Association, 1979), pp. 1-8.

30. Edelman and Hazen, *Collection Development*, p. 33.

31. Perkins, *Guidelines*, pp. 1-30.

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39. Evans, Gifford and Franz, *Collection Development Analysis*; Evans, Beilby and Gifford, *Development of a Responsive Library Acquisitions Formula*.

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45. Gautschi, Survey of Users, Appendix 2.

46. Gardner and Webster, Collection Analysis Project.

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APPENDICES

I. Definitions of Collection Development and Management Terms

II. List of Documents and Working Papers Prepared as Part of the Cornell Collection Development and Management Project, July 1977-June 1980

III. Bibliography on Allocation of Book Funds in Academic Libraries, compiled by Ann Gerken

IV. Summary List of Data Collected for the Cornell Collection Development and Management Project

V. Library Profile - Music Library, prepared by Michael Keller

APPENDIX I

Definitions of Collection Development and Management Terms

A number of rather ordinary terms are being used in the Cornell context in rather special ways and therefore require special definitions. At the same time some general concepts like "Collection development" are being used and these are explained in order to make clear how they are being employed in this report. These terms and concepts are defined below.

TERM	DEFINITION
Book Funds	The term is used to refer to all funds that are intended to be allocated for the acquisition of all types of library materials to any unit or group of units in the library system. It includes memberships, blanket orders, subscriptions or other contracts or obligations entered into for the purpose of acquiring library materials. Book funds are made up of general University appropriated funds, State funds appropriated to Cornell for acquisition purposes, statutory college funds allocated for acquisition purposes, endowment income, restricted funds and funds allocated to the library system or a specific unit of the library system by another academic division of the University for a specific purpose.
Central Research Collections	The collections of library material assembled primarily for research purposes and housed in the Olin Library. They are composed of the University's principal General Reference Collection, the principal Collections in the Humanities, the principal basic Social Science Collections and special Collections such as Rare Books Collection; Wason Collection on China and the Chinese; the John Echols Collection on South East Asia; the History of Science Collection; the Icelandic Collection; and Manuscripts and Archives. (See Chart I, p. 27)

collection	When spelled with a small letter it is intended to refer to a collection or collections of library materials in a generic sense.
Collection	When spelled with a capital it is intended to refer to the individual components of the Cornell library collection. It is defined as a group of materials with distinct and definable common characteristics and serving a specific objective. These characteristics include among others: physical format; subject (usually defined by LC class); language; geographic origin or connection.
Collections	When spelled with a capital, "Collections" refers to the group of Collections making up the aggregate holdings of the library system.
Collection development	A primary library function relating the library's scholarly resources to the needs of users, patterns of research and instructional use, and to the existing and future resources of the institution. It involves the planning of future growth, the selection of library materials and the allocation and administration of funds.
Collection management	The supervision and control of the library collections including books, journals and other library material and the management of the library processes involved in providing physical access to and use of the library collections; in planning and managing the space required to house the collections; and in conserving and preserving the collections.
Computer File	An organized group of bibliographical records or any organized collection of data in machine readable form.
Core Research Collection	The essential library resources for supporting the principal collective research interests and activities of the client groups who make up the primary users of a Library or Collection.

Data Base	A computer file of bibliographical records or other data available for use.
Discipline	A field of academic study. Usually used in a broader sense than a subject matter or geographical area.
Field	An area or division of academic activity.
Information resources	The aggregate store of organized information assembled by units and employees of the University as a part of accomplishing their official responsibilities and maintained in whatever form is most appropriate to their use. It includes but is not limited to libraries, special collections of documentation, video and audio visual materials, art galleries, museums, locally resident computer files and computer data bases, research notes and files, collections of documents and other records maintained by individual professors, archives and official records.
Library	An administrative entity of the Cornell University Library System comprising a group of collections or parts of collections in one location.
Macrodecisions	The decisions through which it is determined to acquire large blocks of material for the library collections or by which a major commitment of funds is made to participate in a particular program or project or to subscribe to a body of library material in order to acquire a substantial amount of material for the library collections.
Microdecisions	Decisions arrived at through the process of reviewing on an item-by-item basis what specific items are to be acquired for the Cornell library collections or for a specific Collection or Library.
Node	A point in a network.

Official record	The primary record of official action, data and information published by governmental, intergovernmental, official and semi-official agencies throughout the world.
Scholarly record	The published outputs of individual scholars, artists, thinkers, and researchers; of the major academic, scholarly, professional and research groupings in the world; and of the major cultural, social and political expressions of world societies of various historical periods. (H. Edelman. Selection Methodology.)
University Information Resources Network	The entire complex of units, offices, agencies, libraries, collections, stores, files and data banks primarily engaged in assembling and storing information and data throughout the University in whatever form and for whatever purpose. It is characterized by linkages that facilitate communications between nodes of the network and between the nodes and a central communicator. It does not include units engaged only in the processing, transmission or exchange of information unless they are also involved in storage and collection of information. (See Chart I, p. 27)

APPENDIX II

LIST OF DOCUMENTS AND WORKING PAPERS PREPARED AS PART OF THE CORNELL COLLECTION DEVELOPMENT AND MANAGEMENT PROJECT JULY 1977-JUNE 1980.*

Document Number

1. Moore, Robert. Organization, Method, and Results: Counting the Libraries Holdings. (Bulletin, Cornell University Libraries, July/August 1977) September 1977. 9 pp.
2. Hazen, Dan C. Collection Management and Development Project, Advisory Committee Meeting, December 5 and 6, 1977. 35 pp.
3. Collection Analysis Project, Jan.-Aug. 1978. Explanatory Notes. 20 pp.
4. Moore, Robert. Missing Monographs in the Wason Collection: A Report of the Results of a Sample Inventory Completed in January 1978. February 1978.
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6. Rockey, Steven. An Informal History of the Mathematics Library. October 3, 1978. 4 pp. with appendices.
7. Oakley, Robert L. Undergraduate Legal Research. November 9, 1978. 10 pp. with appendices.
8. Moore, Robert. Results of the January 1979 Repeat Sample Inventory of Monographs in the Olin Library. February 1979.
9. Annex Library. (CUL Procedure No. 32) December 15, 1978. 63 pp.
10. Bulakul, Surong and Guillermo Rodriguez. Interactive Model for Managing Book Storage. January 1979. 25 pp. with appendices and printout.

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12. Saylor, John. Earth Sciences Collection at Cornell University Libraries. June 4, 1979. 18 pp. with appendices.

13. Perushek, Diane. Proposal for Survey of Japanese Collection. Draft. (Memorandum to J. Gormly Miller dated February 13, 1979)

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APPENDIX III

BIBLIOGRAPHY ON ALLOCATION OF BOOK FUNDS IN ACADEMIC LIBRARIES

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APPENDIX IV

SUMMARY LIST OF DATA COLLECTED FOR THE CORNELL COLLECTION DEVELOPMENT AND MANAGEMENT PROJECT

1. Expenditures

A. Expenditures by library for monographs, series and serials and binding, 1971/72 through 1978/79, with index figures.

B. Expenditures by program, 1974/75 through 1978/79. (Endowed Divisions) October 1979.

2. Shelflist Counts

A. Tabulations by library and LC classes for 1973, 1975, 1977, and 1979. Changes in shelflist count by broad classes (humanities, social science, etc.) 1973, 1975, and 1979.

B. Shelflist count compared to volume count by LC, showing ratios of volume to title.

3. Actual Counts

A. Physical count by LC class by library, August 1977.

B. Title count by LC class for one year's growth, August 1977 through August 1978.

C. A statistical report on volumes newly added to five Cornell University libraries by LC class by library by type of material. February 1980.

4. Library Growth

A. Library growth by volumes by library and year.

B. Percentage distribution of growth in volumes by library by year, compared with total Cornell library system growth, 1961/62 through 1977/78.

C. Microform additions by units added 1969-1970 through 1976-77. Compiled 7/19/79.

5. Space

A. Total number of shelves in main LC classes in Olin, Wason/Echols, Mann, Engineering.

B. Occupancy rates per shelf for each class.

C. Differentiated average for volume size per class per library.

6. Serials

A. Title distribution per library per class;

B. Duplications;

C. SOMS (Standing Orders for Monographs-in-Series);

D. Compilation of prices of selected periodicals by subject, by year. 1971/72 through 1979.

E. Cornell University Libraries Serials Currently Received. Serial Reports (October 1980).

1. Serial Statistics. Report 1 - By LC class by type of serial.
2. Serial Statistics. Report 2 - By LC class by library and collection.
3. Serial Statistics. Report 3 - Dual titles by library and collection.
4. Serial Statistics. Report 4 - By LC class by library and by language.

7. Academic Activity Indicators

Faculty, graduate enrollment, graduate degrees, research expenditures by field, by year.

8. General

A. Ratios of titles to volumes by LC class.

B. Groupings of LC class as within humanities, social sciences, science, reference/bibliography.

C. Inventory of data assembled for Collection Development and Management Project. Prepared by Karen Tarr. August 1979.

9. Survey of Users

A. Comparison of Cornell Libraries with other academic and research libraires. Three parts. June 1980.

B. 1. Summary of responses to Open-ended Questions. Faculty. Part III, A.B.C. February 1980.

2. Summary of responses to Open-ended Questions. Graduate Students. Part III, A.B.C. May 1980.

C. Print outs summarizing data in faculty program file. March 1980.

D. Print outs summarizing data in graduate student file. March 1980.

APPENDIX V

COLLECTION PROFILE - MUSIC LIBRARY

Prepared by Michael Keller, Music Library

A. General Description

1. Identifying Term for Collection: Music Library
2. LC Class Numbers: Principally M, ML, MT
3. Classification of Educational Subject Matter: Music, Musicology, Music History, Music Theory, Music Composition, Music Performance, etc.
4. Description of Collection: The Collection consists of printed music and works about music, recordings of music, some microforms of music in various forms, and those works in other subject areas which are related directly to music. The collection serves a Department of Music which emphasizes the intellectual, cultural and creative aspects of music. Music education is not any part of music at Cornell.

a. The collection is almost wholly in the Music Library in Lincoln Hall. Certain materials are in the Olin Library stacks and should be moved to Lincoln as space and processing time allows. Certain rare and delicate items are in the Olin Rare Books Department but will be moved to the Music Library when a suitable, climate-controlled space is constructed. Various of the other campus libraries have some music materials: The Catherwood Library has some music relating to the Labor Movement in the United States; the Law Library has some works about the legal and copyright issues affecting music; the Engineering Library contains works on acoustics and physics of music. The Undergraduate Library has very recently embarked upon a program of purchasing some recent imprint works about music and musicians which happen to be reviewed in Choice, LJ and similar acquisitions tools for college libraries; this collection entirely duplicates in a minor way the collection effort of the Music Library.

b. The collection is, for the most part, catalogued and classified according to LC practice and the AACR 1 rules. Phonodiscs, most scores and all books fall under this rubric. This presently amounts to about 86,000 pieces. There is an unclassified collection of 78rpm records in the Annex Library, a collection of 11,149 pieces of 19th and 20th century sheet music (parlor songs and the like) which is unclassified but briefly catalogued by composer and title in a separate catalog. There is a collection of 3,045 pieces of microforms which are shelved by a numerus currens system but catalogued by AACR 1. Some libretti are filed in a special section alphabetically by title. The physical organization of the collection is somewhat complicated by the demands of the material, by the space allotted to the Music Library in Lincoln Hall, by several gifts, by service considerations and by tradition.

B. Trends in Collection Growth, 1970-1980

1. Increased use of standard repertory scores and recording mandated increased purchase of these titles as more people took service courses. The recorded sound collection in particular has grown with extra copies of commonly heard and assigned compositions.
2. The widening span of the disciplines of musicology outside of Cornell while at the same time Cornell's musicologists became more numerous and thus more research topics were being investigated has vastly expanded the call upon the Music Library for primary and secondary literature in these areas. Early in the decade the focus was principally western European and its cultural derivatives; lately Southeast Asian, East Asian, South Asian, African and Latin American. Slavic studies have been a constant interest. We have attempted to provide the most important research material for western European and Russian topics (from nearly all periods) but have failed to provide much depth in these areas. The rest of the world's music is inadequately covered even for undergraduate course offerings. These collecting efforts have required contacts with a wider variety of sources, commercial and non-commercial, and in a number of ad hoc of uncommon ordering/invoicing procedures. Flexibility and faith have been required.
3. The collection of musical materials has benefited from the constant attention of members of the Music faculty, but members of other departments have made suggestions for purchase also.
4. Rapid alteration of existing curricular syllabi and novel course offerings at all levels have forced collecting projects so that material supporting such courses would be available. In the longest view,

this practice may provide a strong collection, but not enough funds have been available to continue the fundamental, constant collecting efforts for standard materials, general reference tools and single titles. This has negative financial and programmatic implications.

5. Numerous scores of chamber music in parts have been acquired for the Chamber Music program. Most of these are current imprint items, but some music of great interest is available only in original editions of the 17th, 18th, and early 19th century. This has necessitated recourse to the antiquarian market.
6. With more graduate students studying more intensively because in this decade those "all-but-dissertation" Ph.D.s cannot compete for academic posts, the demand for very specialized source materials in musicology has been quite strong. This kind of collecting has been very like that described in (4) in speed and result. Numerous personal contacts around Europe have been used to obtain this material.

C. Evaluation

1. User needs - see data from Gautschi survey, but shouldn't we consider other sources?
2. Collecting Level:

a. Instructions used in preparing collection level analysis. Extract from "Collection Analysis Project...Explanatory Notes." (Document No. 3.) "Three separate judgments regarding collecting intensity should be indicated. In column 'X' indicate strength of collections in this class. In column 'Y' indicate level of current collecting activity in this class. If the current selection profile includes retrospective purchases, place an asterisk in this column. In column 'Z' indicate the level of collecting activity which would be desirable to meet current and continuing program needs. The following codes are to be used to express level of collecting:

CODE: 1

Comprehensive level: A collection in which a library endeavors, so far as is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms), in all applicable languages, for a necessarily defined and limited field. This level of collecting intensity is that which maintains a "special collection"; the aim, if not the achievement, is exhaustiveness.

CODE: 2

Research level: A collection which includes major published source materials required for dissertations and independent research, including materials containing research reporting, new findings, scientific experimental results, and other information useful to researchers. It also aims to include all important reference works and a wide selection of specialized monographs, as well as a very extensive collection of journals and major indexing and abstracting services in the field.

CODE: 3

Study level: A collection which is adequate to support undergraduate or graduate course work, or sustained independent study; that is, which is adequate to maintain knowledge of a subject required for limited or generalized purposes, of less than research intensity. It includes a wide range of basic monographs, complete collections of the works of more important writers, selections from the works of secondary writers, a selection of representative journals, and the reference tools and fundamental bibliographical apparatus pertaining to the subject.

CODE: 4

Basic level: A highly selective collection which serves to introduce and define the subject and to indicate the varieties of information available elsewhere. It may include major dictionaries and encyclopedias, selected editions of important works, historical surveys, important bibliographies, and a few major periodicals in the field.

CODE: 5

Minimal level: A subject area which is out of scope for the library's collections, and which few selections are made beyond very basic works.

It is assumed that if a selector collects at a Research level that collection includes Study, Basic and Minimal levels as well. If this is not the case, draw a line under the collecting level, e.g. 2, to indicate that study level material is not collected.

Note: These definitions are proposed to describe the range and diversity of titles and forms of materials collected. We are not here concerned with the question of availability of multiple copies of the same title.

LANGUAGE CODES

Again, indicate existing coverage (X), languages currently collected (Y), and desirable language coverage for current and continuing collecting (Z) in the appropriate columns.

The following codes are to be used to indicate languages collected. Use more than one code if necessary to express policy.

	CODE:
All applicable languages (i.e., no exclusions)	A
English only	B
Western European languages (including English)	C
English primarily; other languages selectively	D
Romance languages	E
Germanic languages	F
Slavic languages, excluding Russian	G
Russian	H
Middle Eastern languages-specify language/s	I
South Asian languages-specify language/s	J
Southeast Asian languages-specify language/s	K
East Asian languages-specify language/s	L
African languages-specify language/s	M
Other languages-specify	N

2b. Collection level analysis

L.C. Class	Forms	Collecting Level Codes			Language Codes		
		X	Y	Z	X	Y	Z
A-L, N-Z	Bks	5	5	5	A	A	A
GV 1580-1799	Bks	4	4	4	A	A	A
M 1-4	Bks, Gov, Mic, RSM	2	2*	2	A	A	A
M 5-1499	Bks, Ser, Mic, RSM	2	2*	2	A	A	A
M 1500-1527	Bks, Ser, Gov, Mic, RSM	2	2*	2	A	A	A
M 1528-2199	Bks, Ser, Gov, Mic, RSM	2	2*	2	A	A	A
Not Classified	Scores	2	2*	2	A	A	A
ML 1-5	Ser, Gov, Mic	2	2*	2	C G H	C G H	C G H
ML 6-47	Bks, Ser, Gov, Mic	3	3*	3	C G H	C G H	C G H
ML 48-54	Bks, Gov, Mic	2	2*	2	C	C	C
ML 100-110	Bks, Ser, Gov, Mic	1	1*	1	A	A	A
ML 111-158	Bks, Ser, Gov, Mic	1	1*	1	A	A	A
ML 159-370	Bks, Ser, Gov	2	2*	2	C G H	C G H	C G H
ML 385-429	Bks, Ser, Gov, Mic	2	2*	2	C G H	C G H	C G H
ML 430-459	Bks, Ser, Gov, Mic	2	2*	2	C G H	C G H	C G H
ML 460-1354	Bks, Ser, Gov, Mic	3	3*	3	C G H	C G H	C G H
ML 1400-1651	Bks, Ser, Gov, Mic	2	2*	2	C G H	C G H	C G H

L.C. Class	Forms	Collecting Level Codes			Language Codes		
		X	Y	Z	X	Y	Z
ML 1700-2400	Bks, Ser, Gov, Mic	3	3*	3	C G H	C G H	C G H
ML 2500-3275	Bks, Ser, Gov, Mic	3	3*	3	C G H	C G H	C G H
ML 3300-3399	Bks, Ser, Gov, Mic	3	3*	3	C G H	C G H	C G H
ML 3400-3499	Bks, Ser, Gov, Mic	3	3*	3	C G H	C G H	C G H
ML 3500-3795	Bks, Ser, Gov, Mic	3	3*	3	C	C	C
ML 3800-3930	Bks, Ser, Gov, Mic	3	3*	2	C G H	C G H	C G H
MT 1	Bks, Ser, Gov, Mic.	4	4*	4	C	C	C
MT 2-5	Bks, Ser, Gov, Mic	5	5	5	C	C	C
MT 6-89	Bks, Ser, Gov, Mic	3	3*	3	C	C	C
MT 90-145	Bks, Ser, Gov, Mic	3	3*	3	C H	C H	C H
MT 146-950	Bks, Ser, Gov, Mic	4	4*	4	C	C	C

* Indicates primary collecting responsibility.

Forecast, future aspirations: Cornell's Music Department is adding an ethnomusicologist to the tenurable faculty. This will, in effect, widen the scope of our collecting to embrace important samples of the standard repertoires of popular, tribal, folk, ethnic and art music from all cultures of the world; we formerly collected most heavily in the area of Western European (and derivative cultures) art music. The present state of our holdings by area is not known right now with any precision. Certainly in Southeast Asian materials we have a strong base from which to begin serious collecting activities. I am not sure about any other area collection at Cornell. Cornell aspires to international fame in music research and, therefore, aspires to a collection of sources suitable to support that research. Thus, we should be interested in acquiring by gift or purchase archival materials, music manuscripts, revised proofs, etc. from contemporary composers. Some small efforts have been made in this direction; more remains to be done. Similarly, in the area of 18th century art music, we should be acquiring more of the earlier editions. Our current status is moving from the upper two classes of research level support to the merely adequate or even inadequate ranges. As inflation drives prices higher and higher and as the dollar declines relative to foreign currencies, our ability to acquire the material we need which is published abroad, in most cases, is seriously eroded. A substantial aspiration then is simply to maintain the depth and breadth of the current collection as best we can in a period in which economic factors force deteriorating collecting efforts.

D. Environment

1. Primary, research level population of user:
   - a. Faculty -- 15 faculty members of the Music Department, 3 dance faculty
   - b. Graduate students -- 35 music graduate students in residence or nearby at any given moment; most are doctoral candidates
   - c. Advanced undergraduate students -- no more than 15 in any given year
   - d. Visitors -- approximately 100 faculty members and graduate students from other institutions, mostly in the area, visit each year to use our collections
   - e. Interlibrary loan -- we are the referral library for music in the NYSILL network; I would guess that we loan 300-500 items per year
2. Secondary, curricular level population of users:
   - a. Faculty -- between 25 and 50 faculty members from the Music Department make use of our material each year for their teaching
   - b. Graduate students -- perhaps 25 graduate students from other disciplines consult study materials here regularly
   - c. Undergraduates -- approximately 800 students per year elect undergraduate service courses in the Music Department and make heavy use of our collections and facilities albeit at rather a fundamental level
   - d. Visitors -- too numerous to count

3. Academic programs supported directly

a. Music Department, Dance section of Theater Arts Department

b. Other Arts College departments -- English, Romance Literature, History, Theater Arts, Anthropology, Modern Languages

c. Data on academic activity

FTE Faculty -- 16.5 plus one fellow in the Society of the Humanities

FTE Graduate enrollment -- 28 in residence, approximately 7 others

Masters degrees awarded: 1932-1970 = 29; 1979-1979 = 17

Doctoral degrees awarded: 1932-1970 = $\underline{34}$; 1970-1979 = $\underline{29}$
63 46

d. Research

(1) Research: Faculty, current projects -- theories of rhythm, preparing a major music dictionary, biography of Fameau, complete works of Lully, chamber works of Haydn, Mozart, Brahms, Schubert, 18th century performance practise, Mozart symphonies, ancient Greek music theory, Bartok string quartets, early Italian instrumental music, early violin music, 17th and 18th century French viola da gamba music, romantic organ practises, index to music periodicals in the 18th and 19th centuries, various minor projects.

(2) Research: Graduate students -- music of Elliot Carter, medieval French musico-liturgical practise, 19th century French musical salons, influences of contemporary philosophical thought on music theory, music of English ballad operas, American musical theater of the 1920s and 1930s, sonata forms in the chamber music of Brahms, music of the Andes Indians, ceremonial music of central Java, commercial influences on popular music, classic period French form dance, medieval antecedents to the trumpet, notational practices in a body of 14th century French sacred music mss., 18th century French opera, Receptionsgeschichte of music of Haydn and Mozart, music of Johann Martin Kraus.

Number of courses offered:

Undergraduate; history and theory, appreciation
26 courses, apx. 700 enrolled each semester

Individual instruction in musical performance
18 courses, apx. 110 enrolled each semester

Ensembles and musical organizations
16 courses, apx. 500 enrolled each semester

Graduate music courses
12 courses, apx. 90 enrolled each semester

4. Trends in program growth or other changes in academic programs served by collection (1970-1979)

The following developments affected the Music Library's collecting efforts:

a. In the decade under consideration, the average number of undergraduate majors in a year increased from 1 or 2 to 10 or 12, the average number of graduate students from 5 or 6 to 30 or 35, the number of students in service courses from 300 or 400 to 950 or 1000.

b. With the retirement of a senior musicologist in 1970, three younger musicologists were hired to replace him. There was a similar increase in the amount of research and teaching in the department. It should be noted that musicologists and theorists do the bulk of the classroom teaching in Cornell's Music Department.

c. There has been more inter-action between members of the faculty of the Music Department and members of other academic departments; joint courses have been offered with Music and German Literature, Russian Literature, French Literature, English Literature, Anthropology, and SEAP.

d. Other academic departments have offered courses which have demanded support from the music library, principally from the recorded sound collection: Theater Arts, English Literature, Anthropology, Psychology, History, Art History, Architecture, Russian Literature.

e. There has been a slow but considerable evolution in the course offerings and the major requirements. In general, more is required now than in the past for majors and more service courses are offered now than in the past. The net effect of these changes has been kaleidescope in character. That is, the collection has had to respond to the needs of a variety of new courses on subjects which had never been taught or studied here; crash collection exercises have been common.

f. With the increased number of graduate students, there has been a corresponding shortening of the period between A exams and defenses of theses. The periods of research have tended to become shorter and more intense.

g. The Chamber Music program has become very active with something near 50 students enrolled each semester. The demand for scores and parts for consumption has gone from a very low level to a rather high level.

h. The composition program has become larger and more active, particularly after the senior composer, Karel Husa, received a Pulitzer Prize in 1969. There are more graduate students, more performances of new music, and more prizes being won. The Cornell Contemporary Music Festival has acheived real importance in the region for providing a forum for brand new music and compositions from the earlier part of the century which do not usually find a place on ordinary concert programs. The program has become a focal point of activity for composers within several hundred miles. All of this has resulted in demands which the Music Library has met only in a limited degree for new music in score and recorded formats as well as the plethora of history and criticism in periodicals and monographs.

i. There has been increased activity by scholars in the presentation of the results of their research. More papers are read, more articles published, more editions of music printed, more recordings made and as a result of all the preceding, more inquiries for supporting materials from scholars as well as their audiences.

j. There have been desultory attempts at programmatic cooperation with the Ithaca College School of Music. Mostly this has meant that Cornell students are permitted to elect studio instruction from an IC musician while members of the IC music faculty have borrowed material from the Music Library.

5. The Music Library supports the dance program with phonorecords, occasional monographs and course reserves. The Program is not strongly oriented to historical or theoretical studies. There are 4 faculty members, 15 majors, and 300 enrolled each semester in Dance courses.

6. Peripheral use of the collection is made by humanists from all over Cornell, an occasional architect, the odd engineer, and so forth.

7. Cornell's Music Library is viewed as a major resource by faculty members from institutions all over the country and indeed all over the world. We receive a reference question each day by mail on the average and permit in-person use of the collection to any reasonable person. Area colleagues refer to us frequently and area faculty members spend many weekend hours pursuing their own topics. We discourage use of our collection for curricular support by these persons however.

E. Characteristics of Documentation (see matrix)

Please see report of inventory in Music Library dated 16 June 1977. The inventory shows the following percentage breakdown of the Music Library collection:

LC Class/Format	Percentage of Collection
A-L, N-Z	1.2
M (scores)	33.4
ML (music literature)	22.2
MT (music instruction and theory)	3.7
arU-arZ (mostly libretti and hymnals)	.4
Microforms	3.0
Sheet music (19th & 20th century popular music)	10.2
Sound records	25.5
	99.6% (.4 lost due to "rounding")

Approximately 37.5% of our collection are serial publications, either periodical or monographic series. While these are fundamental to a good research collection, it is obvious just from the percentage that the majority of items in the collection are selected as individual titles. Serial literature is invaluable to the scholar and student of music but not for the composer or performer of music, those who create. It is appropriate thus that our collection should emphasize source material, scores and sound recordings, rather than critical and documentary material. It seems fairly apparent that the preponderance of materials added to our collection ought to be individual titles. Ironically this trend makes selection a more crucial and time-consuming task, dependent upon the secondary literature, the knowledge and taste of the selector, the composition of the Music Department and witchcraft. In the coming decade I predict that the number of new compositions made available in print will increase, particularly as composers exploit the small press idea, that new music and new performances of old music as sound recordings will assume equally diverse outlets, and that formal documentary efforts will decline in number as they increase in cost. In general, greater diversity in content and format will be encountered.

F. Processes:

1. Titles considered for acquisitions are suggested by continuous and careful reading of the journals about music from all over the world, from

publishers' and dealers' announcements, from faculty and student requests, from catalogs of other libraries and archives, from standard bibliographies and from a variety of personal sources. Since reviews of printed music are usually printed well after the item has been published and reviews of scholarly materials are even later, one must stay abreast of current concerts, scholarly meetings, research trends, and commercial enterprises. For example, a favorable review of a new work or editor's new versions of an old work presented in concert and reviewed by a critic upon whom one can rely may prompt the selector to acquire the score before a review is published. Now, when money is so tight and prices so high, we are forced more into purchases for current curricular needs and current research with less thought for next year's courses and the research of those yet unborn. This is a short-sighted view of collection development but it does provide user satisfaction immediately. One simply must know about and perhaps even be a practitioner of some part of the art of music or musical scholarship in order to purchase responsibly for a collection and musical scene such as Cornell's. There are no formulas, reliable or otherwise. An informal monitoring system is maintained by frequent consultations with faculty members who keep their eyes on the incoming new materials, by perusing lists of new acquisitions produced by other, similar libraries, by reading reviews to make sure that one has not missed a good item, by keeping informed and making sure that there is flexibility enough to respond to the situation. Cornell's Music Library has a tradition of affecting the environment for scholarship as much as it responds to changing situations. This process is different than many collection efforts at Cornell. There is no committee decision-making process. The Music Librarian is solely responsible for selection. We do not rely heavily upon reviews. Expensive purchases are considered carefully and consultations with appropriate faculty members are held before orders on such purchases are placed. In the case of printed music, one must consider the function of the item in the Cornell scene as much as the information it carries; many different performing and scholarly versions of some works are acquired to satisfy many different needs.

2. Bibliographic control

01. Printed music

Until recently, there was nothing approaching a "Music in Print." Now there is a tool which is nearing the inclusivity of "Books in Print." Publishers do not provide adequate information to identify the version or edition of the item they wish to sell. One learns to intuit and to question rather skimpy entries which are suitable for books but not complete enough for music. Another problem is access to anthologies of music.

02. Recorded music

Even less information about recorded music is provided by the record producers. Albums of classical music frequently do not provide the correct titles, the data necessary to identify the piece of music and/or the players, and so forth. Sometimes one must audition a record before one can even begin to catalog it. Also, record producers will frequently market the same album under different names and numbers in different markets. Duplication can be a problem unless one is quite careful. Anthologies of recorded music present us with enormous access and descriptive problems.

02.A. Trends promoting potential for resource sharing

The happiest news on the horizon in this area is RLG. To a large extent our commitments to important but infrequently consulted sets and series published abroad, chiefly in Germany, are susceptible to a cooperative acquisitions/sharing program. Naturally we will acquire those materials which are most pertinent to our curricular and research programs, but the necessity of purchasing every title in every monographic series is not obvious with protocols for borrowing, quickly, such titles from another research library. I believe that serials of all sorts could be affected by this potential within RLG. Cooperative schemes have not been particularly successful in the past partly because grand schemes were involved. In the case of focused disciplines whose curators know each other and the faculty members involved, some small but useful savings can be made. Perhaps many such small steps will result in significant savings for large research libraries.

3. Special acquisitions problems

01. Dealers and Publishers

By and large scores and recordings are provided only by specialized dealers and not by the large firms in the book trade. There are considerable problems because much of what is of interest to this library is published in Europe. Improper dealer assignment results in lost time and money, and sometimes in losing the opportunity to purchase an item which was produced in limited quantities to begin with. This is particularly true of materials published behind the Iron Curtain. It is most important that full descriptions of editions and versions along with publishers' numbers be provided to dealers and publishers. Unfortunately the catalogs issued frequently imply this information and mistakes can be made by the uninitiated in ordering from that kind of a source. The importance of this extra information can be underrated by acquisitions departments and there are lots of questions about items matching orders in most centralized acquisitions departments.

02. Formats of the material present more than the usual number of special circumstances in music acquisitions. Full scores, for instance, frequently come in several different sizes. Chamber music in sets of parts with a rehearsal score must be carefully checked in to assure completeness. Recorded music can be obtained in disc, cassette or reel-to-reel format with a variety of sub-format distinctions. All of this requires a specialist managing the acquisitions process.

03. As much as possible under the current policy of using the central acquisitions department for printed materials and the Music Library for recorded materials, we try to provide copious quantities of information about the desired item. I think that we provide the Acquisitions Department with a disproportionate number of special problems. I believe that the development of an online acquisitions system will alleviate some of the difficulties because the originator of the request will be able to specify once, online, all of the available data and any special requests.

4. Gifts and Exchanges as a means of collection building

Serendipitous as it may be, the accretion of library materials donated by friends has been successful. Many useful items are provided which we may have overlooked or intentionally ignored because there was not a pressing need for the item at the time of publication. This mode of acquisitions cannot be depended upon for the planned support of programs but provides a certain spice to the collection and to the life of those that build the collections. Exchanges by and large have not served music well because of many of the difficulties described above in F.3. There is also the complicated and tedious comparisons of currencies and costs. We receive a few hundred titles annually from a variety of sources which supplement our efforts and enrich the collection, but always as gifts.

5. Retention, withdrawals, and storage

Since some kinds of music are definitely consumable, certain classes are constantly being replaced. Chamber music comes to mind immediately. Otherwise, since we are an humanistic and historic art form, we tend to hold everything we collect. Withdrawals occur only in the case of severely damaged materials. Storage is a pleasant fact of life for us now since we have been able to move our heavy, little used and delicate 78rpm phonodiscs to the storage building. Little else would be appropriate for storage at this juncture. A major weeding effort would not have major consequences for the library because so much of the collection is used frequently. Our circulation last year, for instance, was in excess of 65,000 transactions; the collection last year was just reaching 120,000 pieces. We have a standard procedure for review of missing and damaged items very much like Olin's.

G. Costs and expenditures

1. Analysis of trends, and
2. Forecasts of future trends

The recent years have seen wildly increasing prices, particularly of foreign material (60-70% of what we buy is foreign) so that our major effort has been to meet our current subscriptions to the detriment of purchasing individual titles. There is every sign that costs will continue to rise. Our hope is that the dollar will strengthen relative to European currencies. RLG *may* provide us with the means to collectively acquire the obscure sets and series and use the offset to purchase individual titles. The recording industry is very much in flux with the industry's best year being followed immediately by a crash. Several mergers, bankruptcies and contractions will result in a more tightly controlled market with higher prices. The giants will continue to produce the standard repertory pieces but we will have to seek the marginal producers, the "small presses" of the industry, to provide us with the breadth of repertory which is encouraged by the trend to authentic performance practice and the wide-spread diffusion of scholarship in early music, folk music, popular music and jazz. All of the above leads to the conclusion that more flexibility of expenditures will be important in the coming decade. We must be able to respond quickly to opportunities which will appear suddenly and disappear in the same manner. Further, we must examine the premise previously applied across the board that subscriptions must be maintained at all costs. For the sicences--the social sciences and the technologies--this may be critical; for the humanities, we should test the assumption.

3. Costs can be controlled only by the control of programs. The Music Library serves directly a very active, broadly based and internationally respected music department. As the department adjusts, so will the music library. Cost reductions can be realized in a micro scale by the use of more technology, provided we do not have to assume developmental costs. Cooperative

collection efforts are possible but will have to take time and some money to effect.

4. Sources of support

Currently all but about $327 of the Music Library's book fund comes from appropriated funds. The Music Department, the College of Arts and Sciences, and the Music Library are trying to change this to a situation of better balance. Since we are not old hands at the solicitation of funds from alumni, foundations, friends and corporate sources, some time will elapse before real benefits accrue. There is nearly no income from the sale of materials nor any potential for such income. There may be a project which could be attractive to the NEH, but spin-off benefits to the library will be marginal.

	1962					1964					1966					1968					1970				
	Additions & Transfers	With-drawals	Net Change	Total Holdings	$	Additions & Transfers	With-drawals	Net Change	Total Holdings	$	Additions & Transfers	With-drawals	Net Change	Total Holdings	$	Additions	With-drawals	Net Change	Total Holdings	$	Additions	With-drawals	Net Change	Total Holdings	$
Monographs (titles)	2063	5	2058	8210		2760	0	2760			2346	1	2345			4221	3	4218			3043	6	3037		
(volumes)	2796	12	2784			3895	0	3895	17,405		3132	1	3131	24,159		5393	4		32,929		3654	6	3648	42,203	
Expenditures					$ 9,965					$11,500					$15,500					$16,900					$18,749
SOMS (titles)																									
(volumes)																									
Expenditures																									
Serials (all titles)																									
(current titles)																									
(volumes)																									
Expenditures																									
Classified Coll.																									
(titles)																									
(volumes)																									
Expenditures																									
Micro fiche																									
film						112		112	112		8		8			3		3			27		27		
print																									
Total																									
Expenditures																									
Sound Rec. (pieces)																									
Discs (music)	856	11	845	6388		798	10	788	8,535		680	18		9,665		711	1	710	11,121		789		789	12,747	
Tapes																									
Cassettes																									
Expenditures					$ 1,141					$ 1,100					$ 1,100					$ 1,100					$ 1,200
Unclassified																									
Libretti																									
Sheet Music																									
Total Holdings				14,598					26,052					33,824					44,050					54,913	
Total Expenditures					$11,106					$12,600					$16,600					$18,000					$19,949

	1972					1973					1974					1975					1976				
	Additions	With-drawals	Net Change	Total Holdings	$	Additions	With-drawals	Net Change	Total Holdings	$	Additions	With-drawals	Net Change	Total Holdings	$	Additions	With-drawals	Net Change	Total Holdings	$	Additions	With-drawals	Net Change	Total Holdings	$
Monographs (titles)	2522	8	2514			1636	12	1624			1985	0	1985			2096	0	2096			2105				
(volumes)	2877	70	2807	46,959		2071	22	2049	49,008		2206	0	2206	51,690		2416	0	2416	53,109	†	2745	5	2740	55,807	
Expenditures					$15,327					$13,694					$14,138					$15,079					$18,216
SOMS (titles)																									
(volumes)																									
Expenditures					$ 2,000					$ 2,500					$ 4,000					$ 5,000					$ 6,000
Serials(all titles)																									
(current titles)																									
(volumes)																									
Expenditures					$ 5,000					$ 3,500					$ 3,000					$ 4,000					$ 3,000
Classified Coll.																									
(titles)																									
(volumes)																									
Expenditures																									
Micro fiche																									
film	45			345		52			397							87			484		73			557	
print	79			79					79										79		149			228	
Total																									
Expenditures																									
Sound Rec. (pieces)																									
Discs (music)	681	14		14,031		589	16		14,604		755			15,359		995			16,203		2028			17,725	
Tapes																									
Cassettes																									
Expenditures					$ 1,000					$ 1,000					$ 1,000					incl. above†					
Unclassified																									
Libretti																									
Sheet Music																									
Total Holdings				61,414					64,088					67,049											
Total Expenditures					$23,327					$20,694					$20,638					$24,079					$27,216

	1977					1978					1979				
	Additions	With-drawals	Net Change	Total Holdings	$	Additions	With-drawals	Net Change	Total Holdings	$	Additions	With-drawals	Net Change	Total Holdings	$
Monographs (titles)	2338	2	2336			1473	4	1469			1757	6	1751		
(volumes)	2596	2	2594	59,965		2658	4	2654	62,514		2445	6	2439	64,953	
Expenditures					$18,263					$19,227					$19,610
SOMS (titles)															
(volumes)															
Expenditures					$ 7,500					$ 6,000					$ 9,000
Serials(all titles)															
(current titles)															
(volumes)															
Expenditures					$ 3,500					$ 4,000					$ 6,000
Classified Coll.															
(titles)															
(volumes)															
Expenditures															
Micro fiche	1293		1293	1,293		83		83	1,376					1,376	
film	84		84	691		26		26	717		2		2	719	
print	698		698	928					928					928	
Total															
Expenditures															
Sound Rec. (pieces)															
Discs (music)	1028			25.014		773		773	25,083					26,126	
Tapes						28		28	704		1		1	705	
Cassettes															
Expenditures										$ 3,000					$ 5,000
Unclassified															
Libretti															
Sheet Music				10,031		792			10,823		288		288	11,111	
Total Holdings				97,922					102,145					105,918	
Total Expenditures					$29,263					$32,227					$39,610

N.B.- These figures based on a physical count